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Draft 2015 Transportation Improvement Program

For the Nine-County San Francisco Bay Area

June 26, 2014 MTC Resolution No. 4175



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METROPOLITAN
TRANSPORTATION
COMMISSION

The 2015 Transportation Improvement Program is also posted on MTC's Web site at <www.mtc.ca.gov/funding/tip/>. Copies of this publication are available for viewing at major public libraries in the Bay Area, including the MTC-ABAG Library at the MetroCenter in Oakland. Individual copies may be ordered from the MTC-ABAG Library at a cost of $25 per copy. Orders can be placed by e-mail (library@mtc.ca.gov), fax (510.817.7852) or telephone (510.817.7836).

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Draft 2015 Transportation Improvement Program (TIP)

For the Nine-County San Francisco Bay Area

June 26, 2014 MTC Resolution No. 4175

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APPENDIX A – 1

Adoption of the 2015 TIP
MTC Resolution No. 4175

Date: September 24, 2014
W.I.: 1512
Referred by: PAC

ABSTRACT

Resolution No. 4175

This resolution adopts the 2015 Transportation Improvement Program (TIP) for the San Francisco Bay Area.

Further discussion of the 2015 TIP is contained in the Executive Director's memorandum to the Programming & Allocations Committee dated June 11, 2014.

Date: September 24, 2014
W.I.: 1512
Referred by: PAC

Re: Adoption of the 2015 Transportation Improvement Program (TIP)

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4175

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to California Government Code Section 66500 et seq.; and

WHEREAS, MTC is the federally designated Metropolitan Planning Organization (MPO), pursuant to Section 134(d) of Title 23 of the United States Code (USC) for the nine-county San Francisco Bay Area region (the region); and

WHEREAS, Title 23 Code of Federal Regulations Part 450 (23 CFR §450) requires the region to carry out a continuing, cooperative and comprehensive transportation planning process as a condition to the receipt of federal assistance to develop and update at least every four years, a Transportation Improvement Program (TIP) consisting of a comprehensive listing of transportation projects that receive federal funds or that are subject to a federally required action, or that are regionally significant; and

WHEREAS, the TIP must be consistent with the Regional Transportation Plan (RTP) adopted pursuant to Government Code Section 66508, the State Implementation Plan (SIP) as required by the federal Clean Air Act (42 U.S.C. Section 7401 et seq.); and the San Francisco Bay Area Transportation Air Quality Conformity Protocol (MTC Resolution 3757), which establish the Air Quality Conformity Procedures for MTC's TIP and RTP; and

WHEREAS, federal regulations (23 CFR §450.216(m)) require that the TIP be financially constrained, by year, to reasonable estimates of available federal and state transportation funds; and

WHEREAS, federal regulations (23 CFR §450.316) require that the MPO develop and use a documented public participation plan that defines a process for providing citizens, affected public agencies and interested parties with reasonable opportunities to be involved in the metropolitan transportation planning process; and

WHEREAS, federal regulations (23 CFR §450.330(a)) allow MTC to move projects between years in the first four years of the TIP without a TIP amendment, if Expedited Project Selection Procedures (EPSP) are adopted to ensure such shifts are consistent with the required year by year financial constraints; and

WHEREAS, MTC, the State, and public transportation operators within the region have developed and implemented EPSP for the federal TIP as required by Federal Regulations (23 CFR 450.330(a)) and Section 134 of Title 23 United States Code (USC §134), as outlined in Attachment A of MTC Resolution No. 4175, and MTC Resolution 3606, Revised; and

WHEREAS, MTC has found in MTC Resolution No. 4176 that the 2015 TIP, as set forth in this resolution, conforms to the applicable provisions of the SIP for the San Francisco Bay Area; and

WHEREAS, the San Francisco Bay Area air basin was designated by U.S. Environmental Protection Agency as nonattainment for the fine particulate matter (PM2.5) standard in December 2009, and MTC must demonstrate conformance to this standard through an interim emissions test until a PM2.5 SIP is approved by the federal Environmental Protection Agency (U.S. EPA); now, therefore be it

RESOLVED, that MTC adopts the 2015 TIP, attached hereto as Attachment A and incorporated herein as though set forth at length; and be it further

RESOLVED, that MTC has developed the 2015 TIP in cooperation with the County Congestion Management Agencies, transit operators, the Bay Area Air Quality Management District (BAAQMD), the California Department of Transportation (Caltrans), and other partner agencies and interested stakeholders, and in consultation with the Federal Highway Administration (FHWA), Federal Transit Administration (FTA) and U.S. EPA; and, be it further

RESOLVED, that the 2015 TIP was developed in accordance with the region's Public Participation Plan and consultation process (MTC Resolution No. 3821, Revised) as required by Federal Regulations (23 CFR §450.316); and, be it further

RESOLVED, that the projects and programs included in the 2015 TIP, attached hereto as Attachment A to this resolution, and incorporated herein as though set forth at length, are consistent with the RTP; and, be it further

RESOLVED, that the 2015 TIP is financially constrained, by year, to reasonable estimates of available federal, state and local transportation funds; and, be it further

RESOLVED, that MTC approves the EPSP developed by MTC, the State, and public transportation operators within the region for the federal TIP as required by federal regulations (23 CFR 450.330(a)) and Section 134 of Title 23 United States Code (USC §134), as outlined in Attachment A of MTC Resolution No. 4175, and MTC Resolution 3606, Revised; and, be it further

RESOLVED, that MTC will support, where appropriate, efforts by project sponsors to obtain letters of no prejudice or full funding agreements from FTA for projects contained in the transit element of the TIP; and, be it further

RESOLVED, that the public hearing and public participation process conducted for the 2015 TIP satisfies the public involvement requirements of the Federal Transit Administration (FTA) annual Program of Projects; and, be it further

RESOLVED, that except as to those projects that are identified as administratively approved in Attachment A, the adoption of the TIP shall not constitute MTC's review or approval of those projects included in the TIP pursuant to Government Code Sections 66518 and 66520, or provisions in federal regulations (49 CFR Part 450) regarding Intergovernmental Review of Federal Programs; and, be it further

RESOLVED, that MTC's review of projects contained in the TIP was accomplished in accordance with procedures and guidelines set forth in the San Francisco Bay Area Transportation Air Quality Conformity Protocol (MTC Resolution 3757); and, be it further

RESOLVED, that MTC finds that the 2015 TIP conforms to the applicable provisions of the State Implementation Plan (SIP) and the applicable transportation conformity budgets in the SIP approved for the national 8-hour ozone standard and national carbon monoxide standard, and to the emissions test for the national fine particulate matter standard (MTC Resolution 4176); and, be it further

RESOLVED, that the projects and programs included in the 2015 TIP do not interfere with the timely implementation of the traffic control measures (TCMs) contained in the SIP; and, be it further

RESOLVED, that MTC finds all regionally significant capacity-increasing projects included in the 2015 TIP are consistent with Plan Bay Area (the 2040 Regional Transportation Plan including the Sustainable Communities Strategy for the San Francisco Bay Area); and, be it further

RESOLVED, that revisions to the 2015 TIP as set forth in Attachment B to this resolution and incorporated herein as though set forth at length, shall be made in accordance with rules and procedures established in the public participation plan and in MTC Resolution No. 4175, and that MTC's review of projects revised in the TIP shall be accomplished in accordance with procedures and guidelines set forth in the San Francisco Bay Area Transportation Air Quality Conformity Protocol (MTC Resolution 3757) and as otherwise adopted by MTC; and, be it further

RESOLVED, that staff have the authority to make technical corrections, and the Executive Director and Deputy Executive Directors have signature authority to approve administrative modifications for the TIP and Federal Statewide Transportation Improvement Program (FSTIP) under delegated authority by the California Department of Transportation (Caltrans) and to forward all required TIP amendments once approved by MTC to the appropriate state and federal agencies for review and approval; and, be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution to the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), the federal Environmental Protection Agency (EPA), the California Department of Transportation (Caltrans), the Association of Bay Area Governments (ABAG), and to such other agencies and local officials as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

_____

Amy Rein Worth, Chair

This resolution was entered into by the
Metropolitan Transportation Commission at a
special meeting of the Commission held in
Oakland, California on September 24, 2014.

Date: September 24, 2014
W.I.: 1512
Referred by: PAC

Attachment A
Resolution No. 4175
Page 1 of 1

2015 Transportation Improvement Program

The 2015 Transportation Improvement Program for the San Francisco Bay Area, adopted September 24, 2014, is comprised of the following, incorporated herein as though set forth at length:

- A Guide to the 2015 Transportation Improvement Program (TIP) for the San Francisco Bay Area
- TIP Overview
- Expedited Project Selection Process
- TIP Revision Procedures
- Financial Capacity Assessments
- County Summaries
- Project Listings
- Appendices
- The 2015 TIP Investment Analysis: Focus on Low-Income and Minority Communities

Date: September 24, 2014
W.I.: 1512
Referred by: PAC

Attachment B
Resolution No. 4175
Page 1 of 1

Revisions to the 2015 TIP

Revisions to the 2015 Transportation Improvement Program (TIP) will be included as they are approved.

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APPENDIX A – 2

2015 TIP Investment Analysis

Draft 2015 TIP Investment Analysis: Focus on Low-Income and Minority Communities

The federally required Transportation Improvement Program, or TIP, is a comprehensive listing of all Bay Area surface transportation projects that are to receive federal funding or are subject to a federally required action, or are considered regionally significant for air quality conformity purposes. The 2013 TIP was adopted by the Commission on July 18, 2013 and approved by the Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA) on August 12, 2013. MTC has developed the Draft 2015 TIP, which covers the four-year period of FY 2014-15 through FY 2017-18.

As part of the 2013 TIP development, MTC had conducted an investment analysis with a focus on minority and low-income residents to assist in the public assessment of the TIP, and specifically to address the equity implications of the proposed TIP investments. An update to this analysis for the 2015 TIP is discussed here. The purpose of the analysis is to understand if low-income and minority populations are sharing equitably in the TIP's financial investments. The analysis calculates the shares of 2015 TIP investments flowing to the identified communities, and compares those shares with the proportional size of this group's population and trip-making, relative to that of the general population. This report presents the results of this analysis. For reference, the 2013 TIP investment analysis is available at http://www.mtc.ca.gov/funding/tip/2013/2013_TIP_Final_Investment_Analysis_Report.pdf.

While this investment analysis is a companion to the 2015 TIP, it is also a follow-up to several related MTC efforts, including the Plan Bay Area Equity Analysis, Transportation 2035 Equity Analysis (February 2009), the Snapshot Analysis for MTC Communities of Concern (June 2010), the 2013 TIP Investment Analysis (July 2013) and the 2011 TIP Investment Analysis (September 2010). Together, these efforts are meant to provide accurate and current data to help inform decision-makers and the public, and to inform and encourage public.

MTC strives to employ best practices in metropolitan planning, and we constantly seek to refine and improve the analytical work that undergirds our planning processes. In keeping with these efforts MTC staff actively seeks feedback on this analysis. This document is available online at www.mtc.ca.gov/funding/tip/2015/tip_investment_analysis_report.pdf .

About the 2015 TIP

The Bay Area's 2015 TIP includes roughly 1,000 transportation projects, and a total of approximately $9.4 billion in committed federal, state and local funding over the four-year TIP period through fiscal year 2018. Figure 1 on the next page illustrates the relative share of the 2015 TIP fund sources, with state sources comprising the largest share at over one-third of total funding. Roughly 40 projects account for $5.9 billion or 63 percent of the total funding in the 4-year TIP period. See Attachment A for a map of projects with costs greater than $200 million.

Figure 1

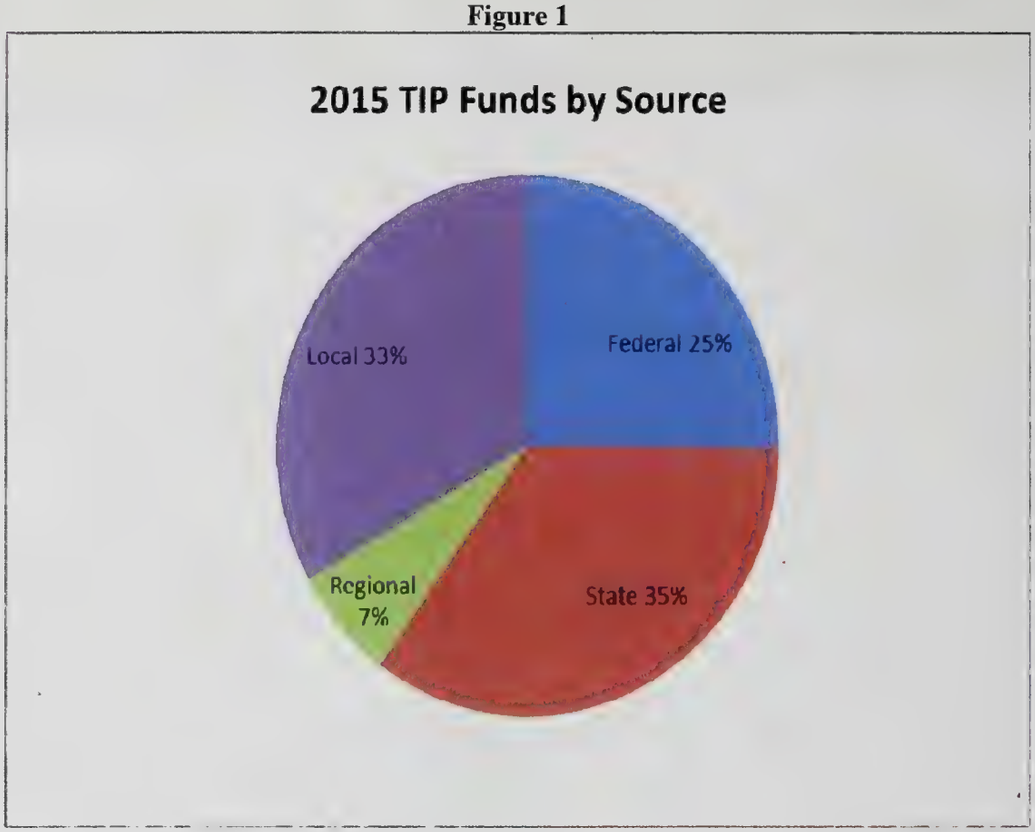
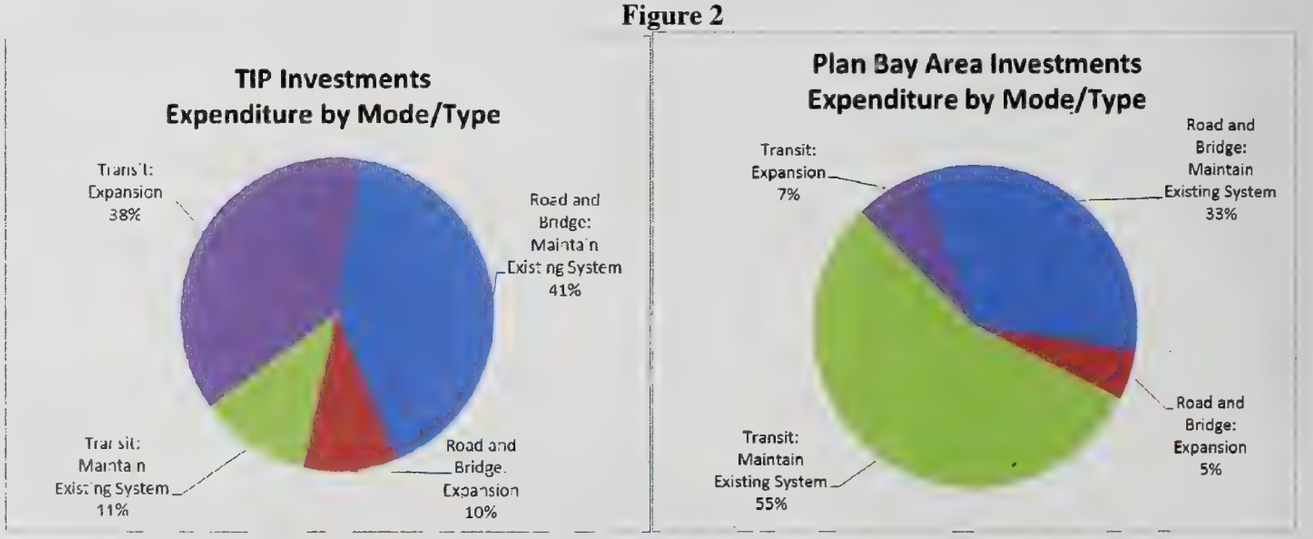


Figure 2 below at left shows the planned investments in the 2015 TIP by transportation mode (road/bridge or transit) and type of expenditure (maintenance/management or capital expansion). The TIP investments for bicycle and pedestrian improvements are included under the road/bridge category as elements of complete streets. As a frame of reference, the Plan Bay Area expenditures by mode and function are shown as well on the right.

Figure 2



The most striking difference is that the share of capital expansion for both transit and complete streets/highways is much greater in the 2015 TIP than is the case for Plan Bay Area.

The main reason for this difference is that the TIP represents only a fraction of Bay Area transportation investments and is only a four-year snapshot. Because the TIP is focused on projects that have federal funds, will require a federal action, or are regionally significant, it tends by its nature to be more heavily weighted toward capital projects – such as roadway preservation, transit extensions and replacement of transit vehicles. The majority of funds that go to operate, maintain, and manage the region's transportation system – both for transit and streets and roads – are not a part of the TIP though they are a significant part of Plan Bay Area. For this reason, the TIP investments are not representative of the broader funding picture in Plan Bay Area, the region's long-range plan.

Another feature of the TIP that distinguishes it from the region's long-range plan is that it tends to be a more dynamic document – meaning that it is revised frequently to reflect changing fund sources and project changes, and on-going programming efforts. For example, the current 2015 TIP does not yet reflect over $1.7 billion in Federal Transit Administration (FTA) formula funds because the Commission has not yet adopted a final program for the four years of the TIP. These funds have historically been directed to transit rehabilitation. Once the action occurs, the 2015 TIP will be amended to include the projects and funding. As context, the 2011 TIP was revised over 30 times between its adoption and the approval of the 2013 TIP.

Equity and Environmental Justice Considerations

As the federally designated MPO, MTC is responsible for developing a long-range regional transportation plan and the TIP. The legal, regulatory, and policy framework for addressing equity and environmental justice as it relates to the long-range transportation planning process is included in Appendix A and includes: 1) Title VI of the Civil Rights Act; 2) Federal Guidance on Environmental Justice; and 3) MTC's Environmental Justice Principles.

These laws, regulations, and policies form the basis of analyzing MTC's Plan Bay Area for equity and inform the 2015 TIP Investment Analysis. MTC is building on the work undertaken in the 2011 TIP Investment Analysis, the 2013 TIP Investment Analysis, the Transportation 2035 analysis, and the Equity Analysis for Plan Bay Area. We continue to seek feedback on the methodology and future enhancements to the analysis.

Bay Area – Demographic Context

Before embarking on a discussion of the analysis, it is important to understand demographic and travel patterns for the Bay Area. In terms of overall demographics, roughly 31 percent of the region's households are low-income, defined as households with incomes that fall below roughly 200 percent of the federal poverty level for a family of four. Also, the Bay Area is now a "majority minority" region with 58 percent of the households in the racial/ethnic minority category. Table 1 provides summary information on demographics.

Table 1. Population Distribution by Income and Race/Ethnicity

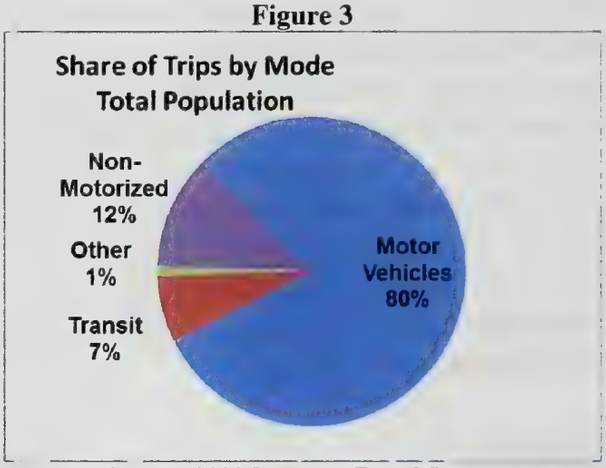
Population Distribution by Household Income		
	Population	**% of Total**
Low-Income (≤ $50,000)	2,211,080	31%
Not Low-Income (> $50,000)	4,843,266	69%
Total	7,054,346	100%
Population Distribution by Race/Ethnicity		
	Population	**% of Total**
Minority	4,117,836	58%
Non-Minority	3,032,903	42%
Total	7,150,739	100%

Sources: 2010 Census SF1; 2010 American Community Survey (ACS): Public Use Microdata Sample 1 Year Estimates.

Notes: Low-income universe is the population in households, excluding persons living in group quarters. Low-income households adjusted for inflation across different data sources/years to capture households with incomes below $50,000 per year in 2006 dollars. Population totals for the region differ in the table above due to differences in the methodologies used to create the data sources.

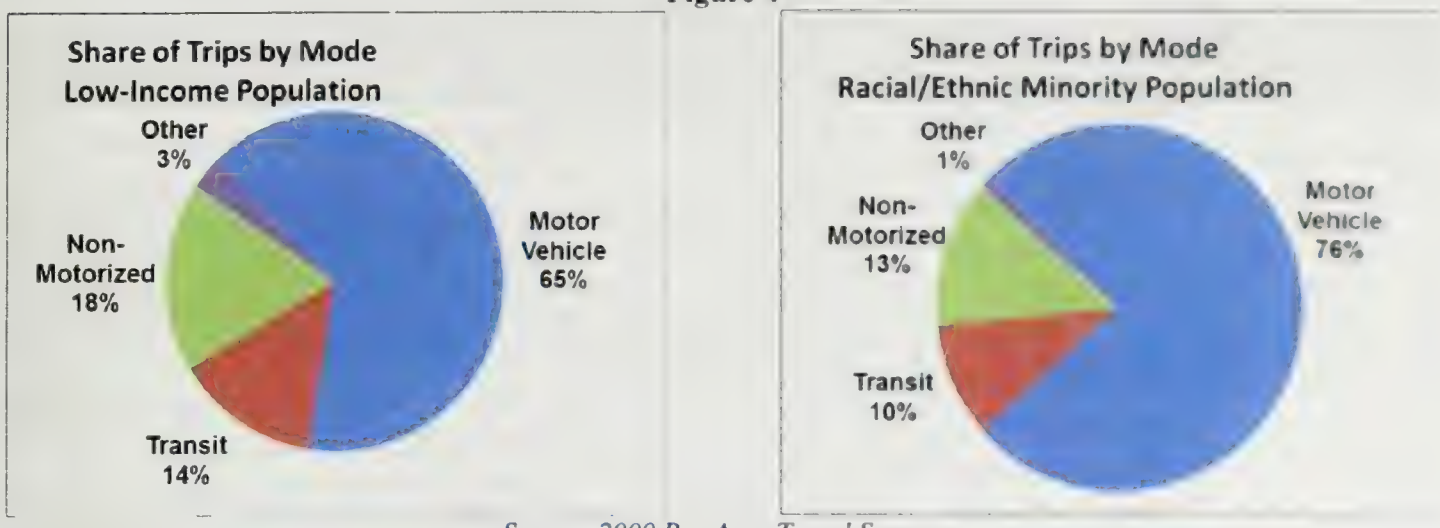
Most notably in terms of travel patterns, Figure 3 illustrates that trips by all Bay Area residents are overwhelmingly made by motor vehicle (80 percent) by the population at large, followed by non-motorized trips (12 percent), and transit (7 percent). While there are real differences for travel patterns for minority and low-income populations, motor vehicles are still the primary mode for trips at 65 percent or greater for both groups (see Figure 4).

Figure 3



Source: 2000 Bay Area Travel Survey.

Figure 4



Source: 2000 Bay Area Travel Survey.

Investment Analysis Overview and Results

The 2015 TIP Investment Analysis uses the following analytical methodology to compare how low-income and minority communities may be affected by the proposed investments in the 2015 TIP:

- **Population Use-Based Analysis:** This analysis is use-based. It compares the estimated percent of investment for low-income and minority populations to the percent of use of the transportation system (both roadways and transit) by low-income and minority populations. In the aggregate, the analysis measures transit and motor vehicle trips using the 2000 Bay Area Travel Survey (2000 BATS). In drilling deeper into the slice of roadway investment alone, the analysis uses vehicle miles traveled (VMT) as the measure of system use from the 2000 BATS. Similarly, for a more refined look at transit investment alone, transit trips are measured using data from MTC's 2006 Transit Passenger Demographic Survey.
- **Mapped Projects Analysis:** In addition to the analytical methodologies framework and based on feedback received from the MTC Policy Advisory Council, staff has also mapped projects in the 2015 TIP that are mappable and overlaid them over Communities of Concern; and census tracts with above average minority populations (included as Appendix C).
- **Title VI Analysis:** MTC is using the above methodologies within the broader Transportation Investment Analysis framework along with a disparate impact analysis of the Transportation Investment Analysis results to meet federal Title VI requirements.

The results are discussed below. Appendix B includes definitions and data sources used in this analysis.

Population Use-Based Analysis

The population-based analysis was conducted as follows:

- The 2015 TIP investments were separated into two modes: transit and road/highway.

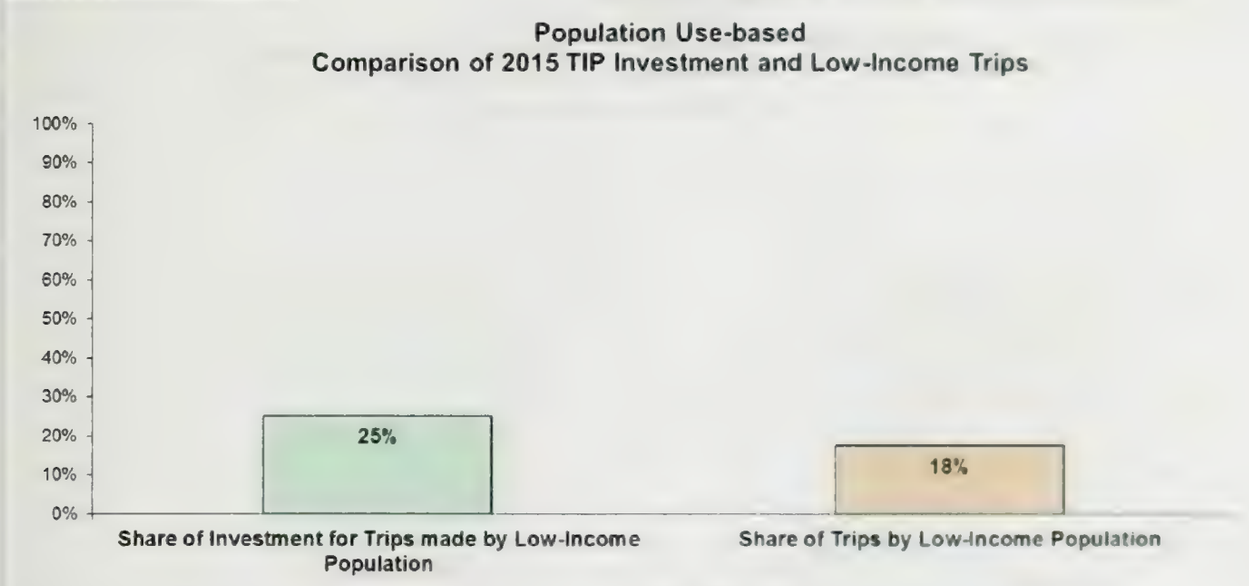
- Investments were allocated in each category to low-income and minority populations, and other populations according to each groups' usage share of each mode at the county or transit operator level.
    - First, to analyze what share of each mode (transit and roads/highways) low-income and minority populations utilize, the following definitions were used:
        - *Low-Income Households:* Low-income households were defined as households earning $50,000 or less. This is roughly equivalent to 200 percent of the federal poverty level for a family of four.
        - *Minority Households:* For this analysis, minority households were defined using U.S. Census Bureau definitions.
    - Second, the assignment of investment by usage was performed by multiplying the percent of use of the mode by the investment in that particular mode. This analysis was conducted at the county level for highways and roadways and at the transit-operator level for transit. As an illustrative example, for a $50 million state highway project in Alameda County, 18 percent or $9 million, would have been assigned as a financial benefit to low-income populations and the remaining 82 percent or $41 million to other populations because 18 percent of Alameda County motor vehicle trips are made by low-income populations based on the 2000 BATS. A similar approach was followed for transit investment allocations. For multimodal, aggregate analysis, trip data from the 2000 BATS were used. For the in-depth transit analysis, data came from MTC's 2006 Transit Passenger Demographic Survey. For the focused roadway analysis, vehicle miles traveled (VMT) data from the 2000 BATS were used.
- Lastly, the investments by mode (from county or transit operator data) were summed for low-income and minority populations and for all other populations based on each group's usage share of each mode. The percent of usage of the system by the target and other populations was then compared to the percent of investment for trips supporting that population.

As a regional-level analysis, this assessment is quite coarse, and has several limitations. The most significant shortcoming is that the analysis does not directly assess the benefit and burden of specific projects or programs. With respect to assigning investment benefit from expansion projects to households, this analysis is limited to assuming that existing usage demographics apply, since current demographic and travel surveys do not include future riders or drivers who will be attracted to the areas served by these expansions either as origins and destinations. Moreover, the roadway-usage share does not account for the benefit to the region's transit vehicles that share the roads with private automobiles. Also, for simplicity, pedestrian and bicycle projects were assigned to local streets and roads and not specifically assigned based on usage by low-income or minority populations of these facilities, or walk/bike mode share.

Population Use-Based Results

Table 2. Population Use-Based Comparison of 2015 TIP Investment and Trips by Income Distribution			
	2015 TIP Investments	% of Investment	% of Trips
Trips by People Living in Low-Income Households (≤$50k/yr)	$2,311,730,342	25%	18%
Trips by People Living in Not-Low Income Households (>$50k/yr)	$7,040,576,551	75%	82%
Total	$9,352,306,893	100%	100%

Figure 5



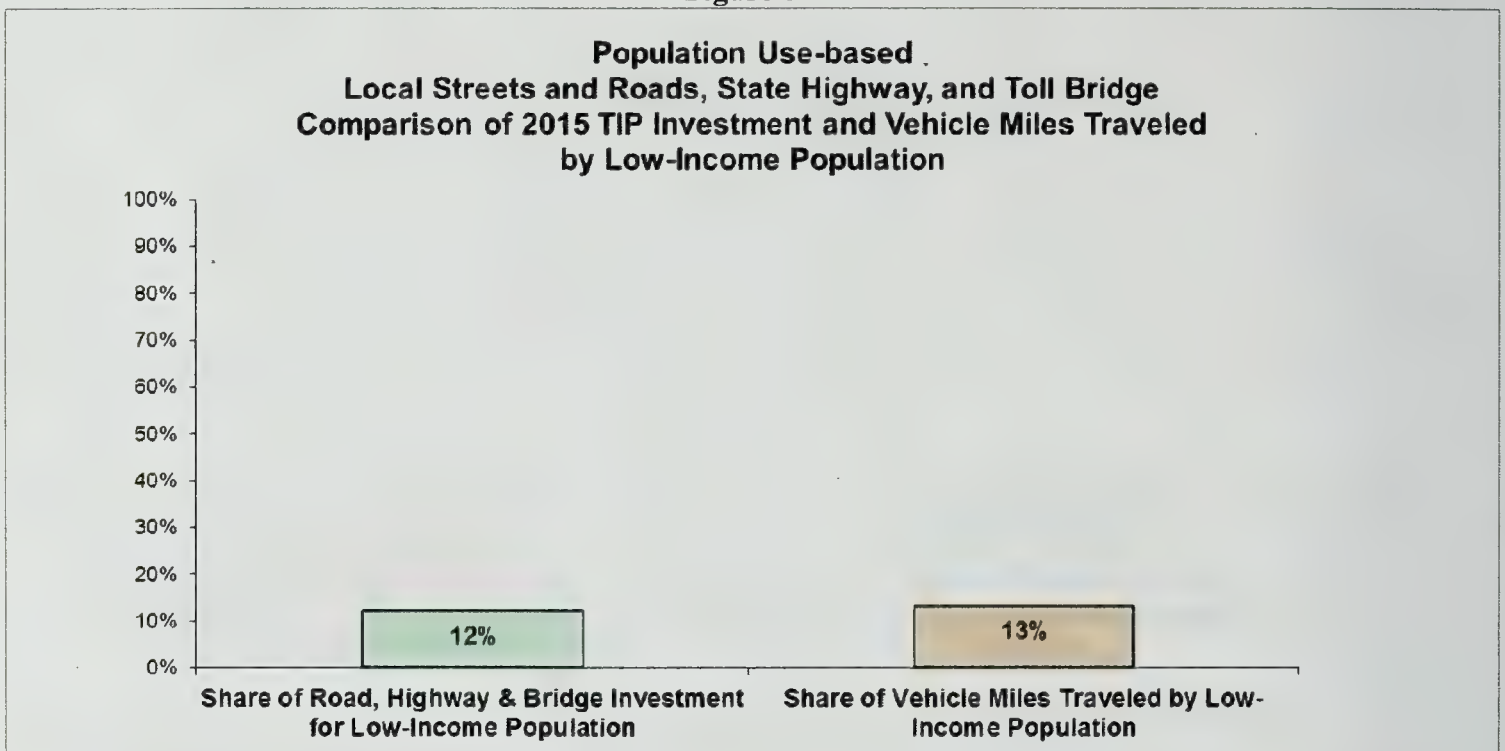
Source: 2015 TIP and 2000 Bay Area Travel Survey

Observations

- The share of investment in projects that support trips made by people living in low-income households (25%) is greater than the proportion of trips made by people living in households that earns $50,000 or less (18%).
- While low-income households make up 31% of the population in the Bay Area (Source: 2010 American Community Survey [ACS]: Public Use Microdata Sample 1 Year Estimates) people living in these households account for only 18% of all trips (Source: 2000 Bay Area Travel Survey).

Table 3. Population Use-Based Local Streets and Roads, State Highway, and Toll Bridge Comparison of 2015 TIP Investment and Vehicle Miles Traveled by Income Distribution			
	Road, Highway & Bridge Investment	**% of Investment**	**% of Vehicle Miles Traveled**
Drivers Living in Low-Income Households (<$50k/yr)	$578,905,196	12%	13%
Drivers Living in Not Low-Income Households (>$50k/yr)	$4,186,008,941	88%	87%
Total	$4,764,914,137	100%	100%

Figure 6



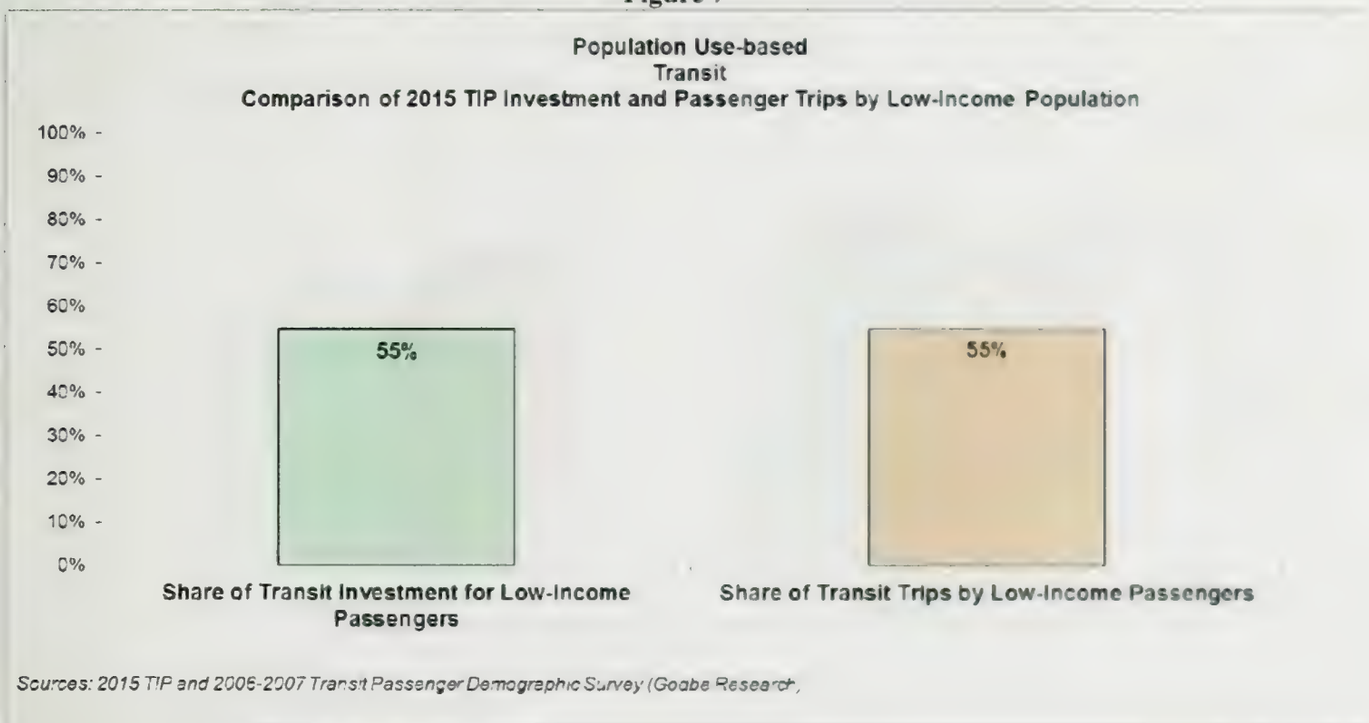
Source: 2015 TIP and 2000 Bay Area Travel Survey

Observations

- The share of investments in local road, state highway and toll bridge systems that benefit drivers living in low-income households (12%) is slightly lower than the share of total vehicle miles traveled by drivers living in low-income households (13%).
- While low-income households account for 31% of the population in the Bay Area (Source: 2010 American Community Survey [ACS]: Public Use Microdata Sample 1 Year Estimates) the drivers living in these households account for only 13% of the driving done in the region (Source: 2000 Bay Area Travel Survey).

Table 4. Population Use-Based Transit Comparison of 2015 TIP Investment and Passenger Trips by Income Distribution			
	Transit Investment	**% of Investments**	**% of Passenger Transit Trips**
Passengers Living in Low-Income Households (≤$50k/yr)	$2,503,093,084	55%	55%
Passengers Living in Not Low-Income Households (>$50k/yr)	$2,084,299,672	45%	45%
Total	$4,587,392,756	100%	100%

Figure 7



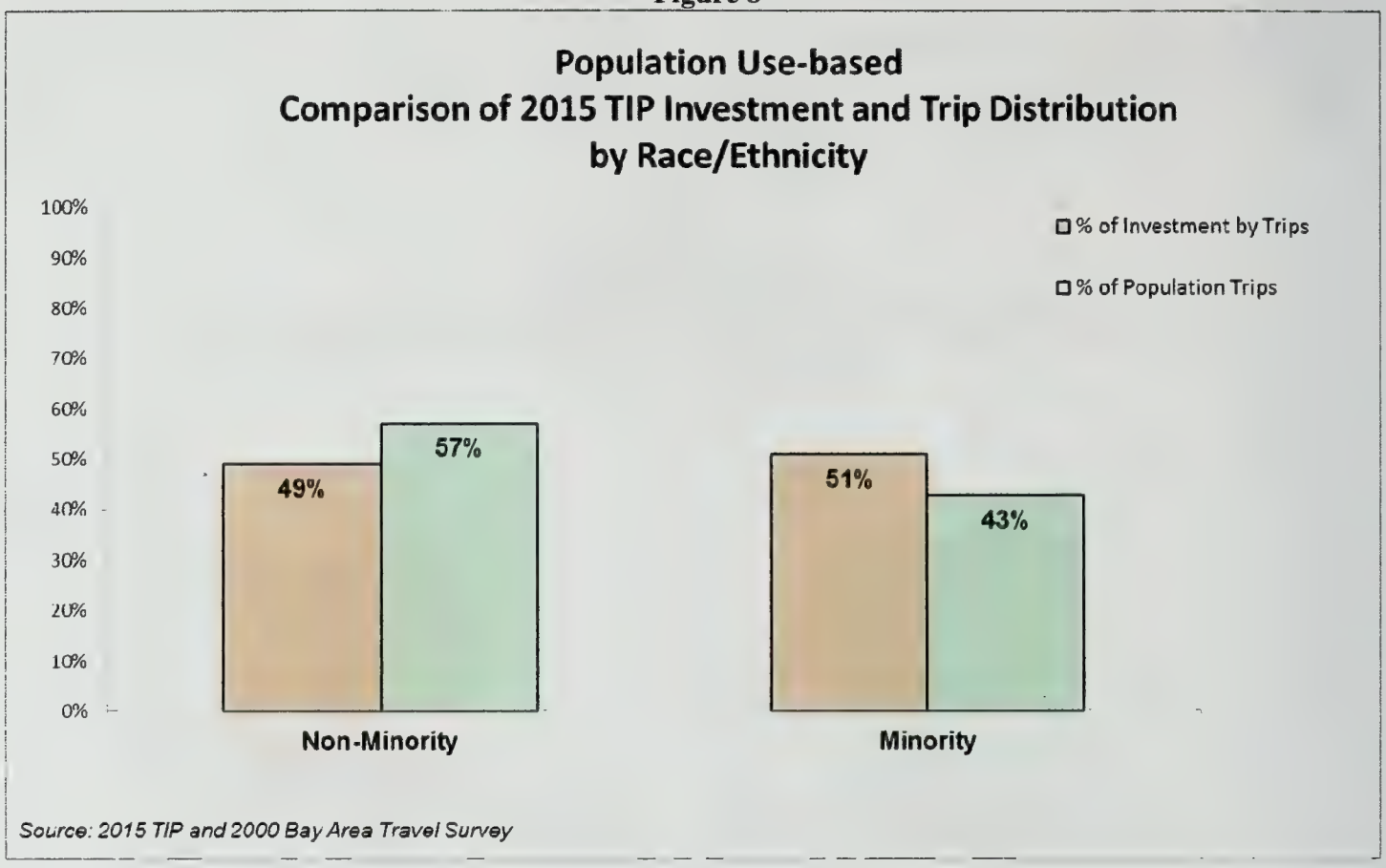
Sources: 2015 TIP and 2006-2007 Transit Passenger Demographic Survey (Goabe Research,

Observations

- The share of transit investment for passengers living in low-income households (55%) is equivalent to the share of transit trips taken by passengers living in low-income households (55%).
- While the share of total low-income households in the Bay Area is 31% of the population (Source: 2010 American Community Survey [ACS]: Public Use Microdata Sample 1 Year Estimates), passengers from these households account for 55% of transit trips (2006-2007 Transit Passenger Demographic Survey).

Table 5. Population Use-Based Comparison of 2015 TIP Investment and Trip Distribution by Race/Ethnicity			
Race/Ethnicity	**Investment by Trips**	**% of Investment**	**% of Trips**
Non-Minority	$4,617,246,286	49%	57%
Minority	$4,735,060,607	51%	43%
Total	$9,352,306,893	100%	100%

Figure 8

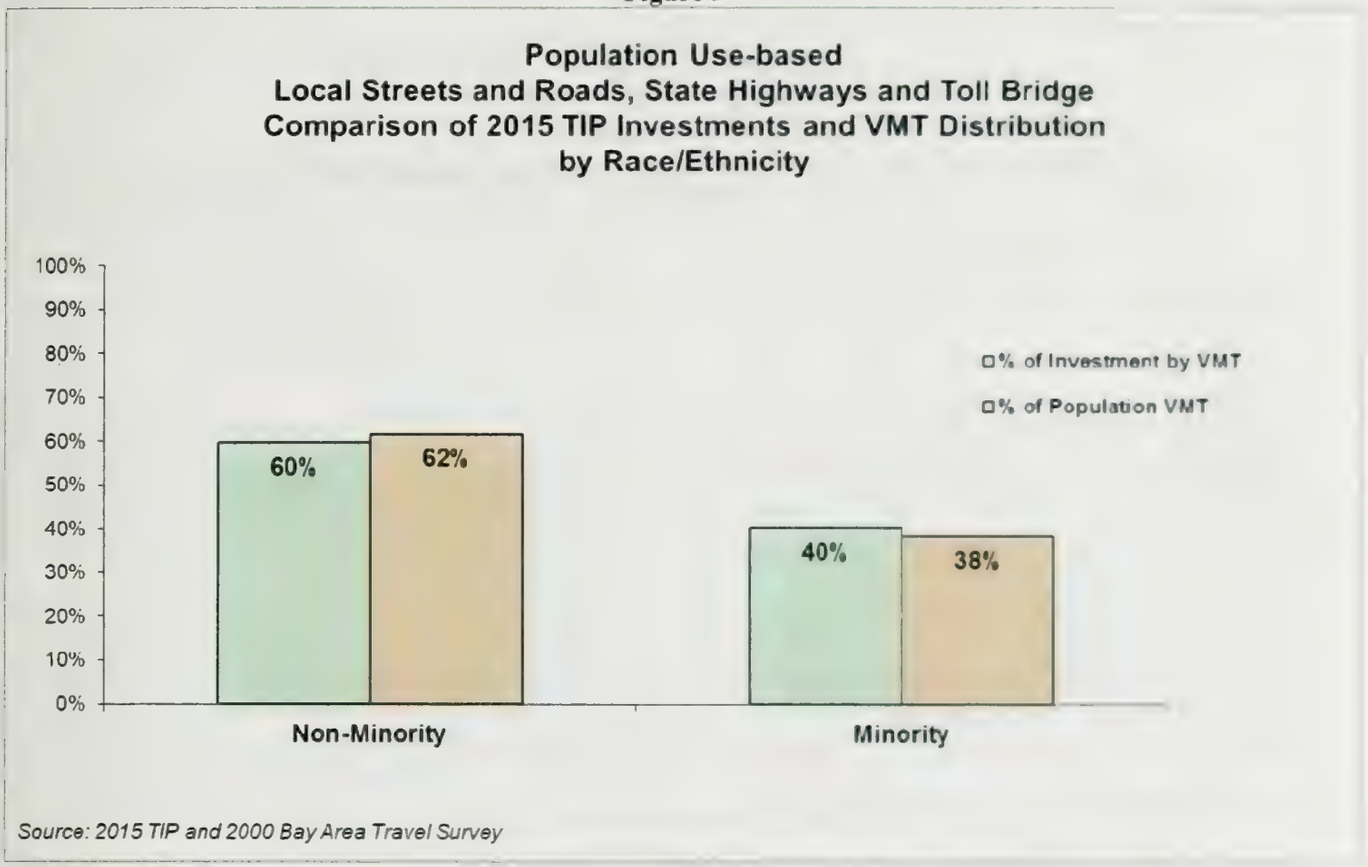


Observations

- Minority households make up 58% of the population, and take 43% of all trips in the Bay Area.
- The share of transportation investments in the Bay Area that support minority population trips (51%) is greater than the share of trips taken by these communities (43%).

Table 6. Population Use-Based Local Streets and Roads, State Highways and Toll Bridge Comparison of 2015 TIP Investments and VMT Distribution by Race/Ethnicity			
Race/Ethnicity	**Investment by VMT**	**% of Investment**	**% of Population VMT**
Non-Minority	$2,842,836,373	60%	62%
Minority	$1,922,077,764	40%	38%
Total	$4,764,914,137	100%	100%

Figure 9



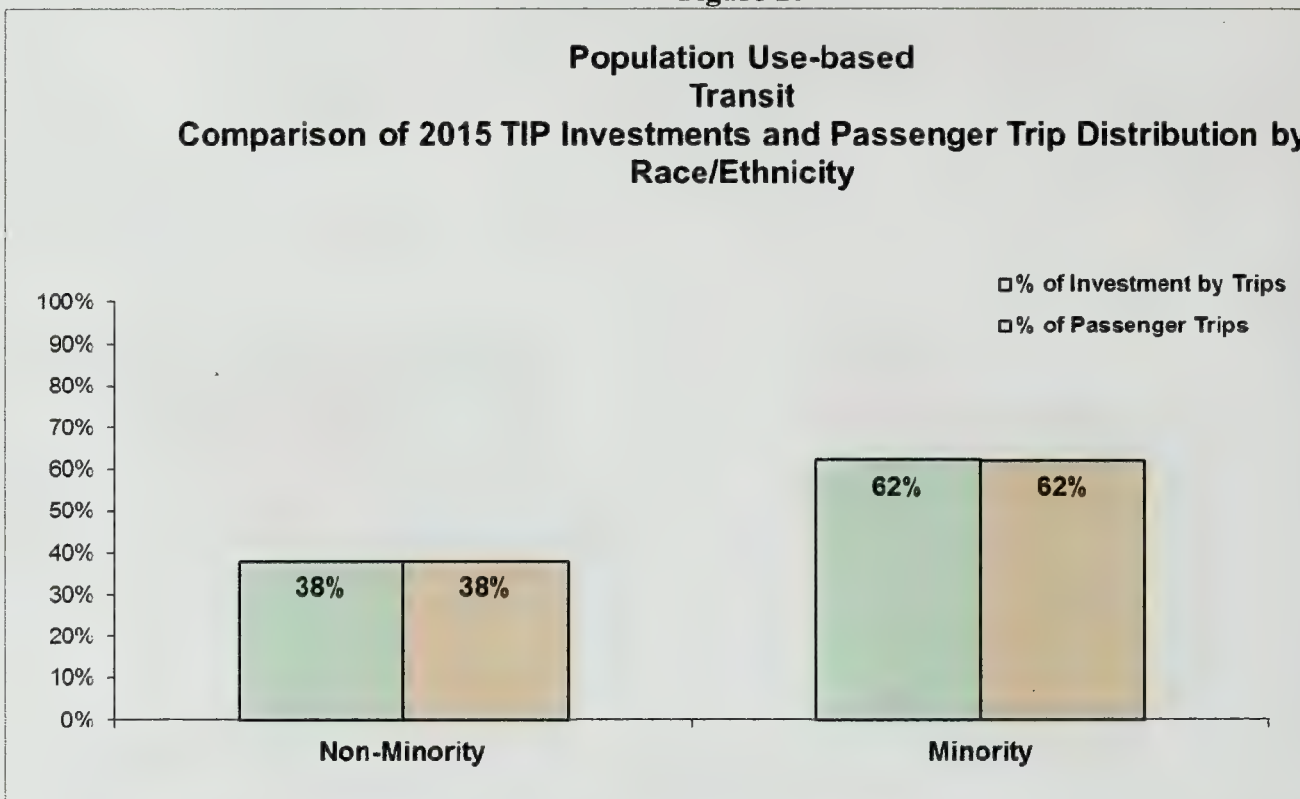
Source: 2015 TIP and 2000 Bay Area Travel Survey

Observations

- Minority households make up 58% of the population in the Bay Area, and account for 38% of the vehicle miles traveled in the Bay Area.
- The share of local streets and roads, state highway, and toll bridge investments that support minority communities in the Bay Area (40%) is greater than the share of vehicle miles traveled by minority populations at 38%.

Table 7. Population Use-Based Transit Comparison of 2015 TIP Investments and Passenger Trip Distribution by Race/Ethnicity			
Race/Ethnicity	**Investment by Trips**	**% of Investment**	**% of Passenger Trips**
Non-Minority	$1,736,422,788	38%	38%
Minority	$2,850,969,968	62%	62%
Total	$4,587,392,756	100%	100%

Figure 10



Source: 2015 TIP and Transit Passenger Demographic Survey (Godbe research)

Observations

- While minority groups make up 58% of the Bay Area population, this population accounts for 62% of all transit trips.
- The share of investment in racial/ethnic minority transit trips (62%) is equivalent to the share of transit trips made by minority populations (62%).

Mapped Project Analysis

To supplement the population/use-based analysis described above, MTC mapped projects in the TIP that are mappable and overlaid them against communities of concern as well as census tracts with concentrations of minority populations that are above the regional average. This analysis is in response to stakeholder feedback that it is also important to analyze the overall spatial distribution of projects to assess equitable access to TIP investments.

The project mapping analysis also has some limitations. First, not all significant regional investments are mappable. For example, a substantial share of total funding in the TIP is dedicated to transit operators for ongoing operations and maintenance of their entire system, which cannot be represented as a simple point or line on a map in relation to a specific community.

Second, despite previous attempts by MTC to quantify the spatial distribution of regional investments in response to stakeholder requests (as in the 2011 TIP Investment Analysis), stakeholders have not agreed on how investments can be appropriately accounted for in terms of whether or not a specific project or investment truly benefits a specific community and to what degree.

Given these limitations, the Regional Equity Working Group, which reviewed and provided input on the Transportation Investment Analysis methodology for Plan Bay Area and the draft 2013 TIP, recommended a more straightforward qualitative, rather than quantitative, assessment of the spatial distribution of mappable projects included in the TIP.

This qualitative assessment mainly involves examining the distribution of projects for any apparent systematic exclusion of communities of concern or minority communities in the spatial distribution of benefits, or any apparent systematic imbalances between the distribution of projects between communities of concern and the remainder of the region, or between minority and non-minority communities.

The component of this analysis overlaying TIP investments against communities with above-average minority populations also constitutes part of the Title VI Analysis. All the maps are included as part of Appendix C.

Title VI Analysis

The Federal Transit Administration released guidance in October 2012 specifying how MPOs such as MTC are to certify compliance with the provisions of Title VI of the Civil Rights Act of 1964 in the metropolitan planning process. This section describes the methodology that MTC is using to meet these requirements within the broader Transportation Investment Analysis framework for the TIP, including the methodology for conducting a disparate impact analysis of the Transportation Investment Analysis results. This methodology is the same as the one utilized in Plan Bay Area.

The key FTA requirements the Transportation Investment Analysis addresses in terms of Title VI are:

FTA Requirement	Related Plan Bay Area Analysis
"Demographic maps that overlay the percent minority and non-minority populations as identified by Census or ACS data ..."	(1) **Project mapping analysis** overlaying mappable TIP projects against 2010 Census tracts with above-average concentrations of minority residents.
"[C]harts that analyze the impacts of the distribution of State and Federal funds in the aggregate for public transportation purposes..."	(2) **Population/use-based analysis** of only public transit investments using State and Federal funding sources.
"An analysis of impacts identified in paragraph [above] that identifies any disparate impacts on the basis of race, color, or national origin"[1]	(3) **Disparate impact analysis** comparing TIP investments per capita for minority populations identified under (2) above as a percentage of per-capita investments identified for non-minority populations.

The disparate impact analysis under (3) incorporates the quantitative results produced by the population/use-based analysis under (2) to make a determination of any disparate impact. The mapping analysis under (1) therefore shows all investments overlaid against minority tracts, regardless of fund source, and is a qualitative analysis only. MTC does have the ability to specify public transportation investments that use State and Federal funds in the population/use-based analysis under (2) above. Some of the State and Federal fund sources included in the Title VI analysis of are: FTA 5307, FTA 5309, FTA 5311, FTA 5337 funds, STP/CMAQ, and Proposition 1B funds.

It is important to note that a substantial share of total funding dedicated to transit operators for ongoing operations and maintenance of their entire system comes from state, regional and local sources that are generally not included as part of the TIP as they generally do not require a federal action.

[1] FTA Circular 4702.1B, page VI-2.

To conduct the disparate impact analysis under (3) above, the results of the population/use-based analysis of public transportation investments using State and Federal funds under (2) are first expressed in terms of investments per capita for both minority and non-minority transit riders (or total population) in the region as follows:

$$\text{Minority benefit per capita} = \frac{\text{Total transit investments allocated to minority riders}}{\text{Total regional minority transit ridership (or population)}}$$

$$\text{Non-minority benefit per capita} = \frac{\text{Total transit investments allocated to non-minority riders}}{\text{Total regional non-minority transit ridership (or population)}}$$

Next, the minority and non-minority per-capita benefit results are compared, expressing the minority benefit per capita as a percentage of the non-minority benefit per capita:

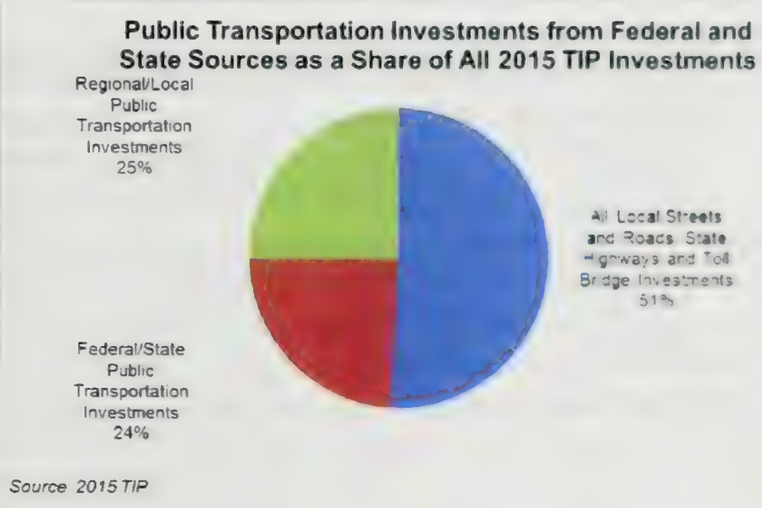
$$\text{Result (\%)} = \frac{\text{Minority benefit per capita}}{\text{Non-minority benefit per capita}}$$

Although FTA does not provide specific guidance or standard benchmarks for MPOs to use in the metropolitan planning process to determine whether any given result represents a disparate impact, a general practice in disparate impact analysis is to use the percentage result to determine whether any differences between benefits for minority or non-minority populations may be considered statistically significant. If a disparate impact is found to be statistically significant, consideration must then be given to "whether there is a substantial legitimate justification for the policy that resulted in the disparate impacts, and if there are alternatives that could be employed that would have a less discriminatory impact."[2]

Results of the Title VI Analysis

First, to address FTA's MPO-specific requirements for Title VI disparate-impact analysis, Federal and State funding sources for public transportation are separated out from the total TIP investments, as illustrated below in Figure 11.

Figure 11



Source: 2015 TIP

[2] FTA Circular 4702.1B, page VI-2.

Next, using the same methodology as the population/use based investment analysis presented above, the $2.2 billion in the TIP's public transportation investments using Federal and State sources is distributed to minority and non-minority transit riders based on their respective shares of ridership among the various Bay Area transit agencies, and total investment shares are compared to the region's overall transit ridership and populations as a whole, as shown in Table 8.

Table 8. Comparison of Federal and State Transit 2015 TIP Investments by Minority Status

Race/Ethnicity	Total Federal/ State Transit Funding (Millions $)	% of Total Federal/ State Transit Funding	% of Regional Transit Ridership	% of Total Regional Population
Minority	$1,369	61%	62%	58%
Non-minority	$879	39%	38%	42%
Total	$2,248	100%	100%	100%

Finally, investments are distributed on a per-capita and per-rider basis so that investment benefits accruing to the region's minority riders and populations can be compared as a percentage to investment benefits accruing to the region's non-minority populations and riders, as shown in Table 9 and Table 10, respectively.

Table 9. Disparate Impact Analysis of 2015 TIP Investments: Population Analysis

Race/Ethnicity	Total Federal/ State Transit Funding (Millions $)	Regional Population (2010)	Per-Capita Benefit	Minority Per-Capita Benefit as % of Non-minority Per-Capita Benefit
Minority	$1,369	4,117,836	$ 332	115%
Non-minority	$879	3,032,903	$ 290	
Total	$2,248	7,150,739		

Source:2015 TIP, 2006 Transit Passenger Demographic Survey, 2010 Census SF1.

Table 10. Disparate Impact Analysis of 2015 TIP Investments: Ridership Analysis

Race/Ethnicity	Total Federal/ State Transit Funding (Millions $)	Avg. Daily Transit Ridership (2006)	Per-Rider Benefit	Minority Per-Capita Benefit as % of Non-minority Per-Capita Benefit
Minority	$1,369	816,059	$1,677	95%
Non-minority	$879	498,303	$1,764	
Total	$2,248	1,314,362		

Source: 2015 TIP, 2006 Transit Passenger Demographic Survey, MTC Statistical Summary for Bay Area Transit Operators.

On a per-capita population basis, Table 9 shows minority persons in the region are receiving 115% of the benefit of the TIP's investments in public transportation from Federal and State sources compared to non-minority persons. On a ridership basis, Table 10, shows that minority riders are receiving 95% of the benefit of Federal- and State-funded transit investments in the TIP compared to non-minority riders. This 5% difference between minority and non-minority per-rider benefits does not demonstrate a systematic disbenefit to minority populations, and therefore this analysis finds no disparate impact in the distribution of Federal and State funding for public transportation purposes between minority and non-minority populations or riders in the 2015 TIP.

Key Findings

The purpose of this investment analysis is to compare the allocation of 2015 TIP investments between low-income and minority populations and all other populations. The key question addressed is: "Are low-income and minority populations sharing equitably in the TIP's financial investments?"

This analysis attempts to take a relatively conservative approach to assigning investments (or "benefit") to low-income households given some of the limitations of the analysis. The results suggest that according to several indices, the 2015 TIP invests greater public funding to the benefit of low-income and minority communities than their proportionate share of the region's population or trip-making as a whole.

- As shown in Table 11 the analysis concludes in the aggregate that there is a relatively higher proportional investment in the 2015 TIP in minority and low-income populations than the proportionate share of trips taken by minority and low-income populations.

Table 11. Findings for Aggregate Analysis

	Share of 2015 TIP Investment	Share of Total Trips/Population
Population Use-Based		
Low-Income	**25%**	**18% (total trips)**
Minority	**51%**	**43% (total trips)**

- In delving deeper into the investments by mode, one finds that the results are similar. For example, for transit, the results show that for low-income populations, the share of investment (55 percent) was equivalent to the share of trips (55 percent). The share of investment in minority transit trips (62 percent) is both slightly greater than the minority share of the total population (58 percent) and also equivalent to the share of transit trips made by minority populations (62 percent). For streets and road investments, these findings also hold true for the minority trips, but not for trips by low-income population when compared against the Vehicle Miles Traveled. However, in no case, do the results appear to demonstrate a systematic disbenefit to low-income or minority populations.
- The Title VI Analysis finds no disparate impact in the distribution of Federal and State funding for public transportation purposes between minority and non-minority populations or riders in the 2015 TIP.

Appendix A: Regulatory and Policy Context for Environmental Justice in Transportation Planning

The contents of this report are intended to satisfy several federal requirements as well as regional policy objectives as summarized in this section. At the federal level are civil rights protections afforded to persons against discrimination in federal programs on the basis of race, color, or national origin; and federal environmental justice objectives. At the regional level are MTC's own adopted environmental justice principles in addition to numerous efforts by MTC and ABAG to incorporate social equity throughout the agencies' regional planning efforts, including Plan Bay Area.

Title VI of the Civil Rights Act of 1964: The Right of Non-discrimination in Federally Funded Programs on the Basis of Race, Color, or National Origin

This section discusses the relationship between Title VI, its requirements, and the development of the Regional Transportation Plan and Transportation Improvement Program.

What Is Covered under Title VI?

Title VI of the Civil Rights Act of 1964 states that "*[n]o person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.*"[3] Title VI further authorizes Federal agencies that make grants (for example, the U.S. Department of Transportation) to promulgate regulations to effectuate compliance with the law's provisions.

What Are MTC's Responsibilities?

As a recipient of DOT funds, MTC is responsible for complying with DOT regulations related to Title VI[4] (see sidebar). In October 2012, the Federal

U.S. Department of Transportation Title VI Regulations

Specific discriminatory actions prohibited under DOT Title VI regulations include:

(1) A recipient under any program to which this part applies may not, directly or through contractual or other arrangements, on the grounds of race, color, or national origin.
   (a) Deny a person any service, financial aid, or other benefit provided under the program;
   (b) Provide any service, financial aid, or other benefit to a person which is different, or is provided in a different manner, from that provided to others under the program;
   (c) Subject a person to segregation or separate treatment in any matter related to his receipt of any service, financial aid, or other benefit under the program;
   (d) Restrict a person in any way in the enjoyment of any advantage or privilege enjoyed by others receiving any service, financial aid, or other benefit under the program;
   (e) Treat a person differently from others in determining whether he satisfies any admission, enrollment, quota, eligibility, membership, or other requirement or condition which persons must meet in order to be provided any service, financial aid, or other benefit provided under the program;
   (f) Deny a person an opportunity to participate in the program through the provision of services or otherwise or afford him an opportunity to do so which is different from that afforded others under the program; or
   (g) Deny a person the opportunity to participate as a member of a planning, advisory, or similar body which is an integral part of the program.

(2) A recipient, in determining the types of services, financial aid, or other benefits, or facilities which will be provided under any such program, or the class of person to whom, or the situations in which, such services, financial aid, other benefits, or facilities will be provided under any such program, or the class of persons to be afforded an opportunity to participate in any such program; may not, directly or through contractual or other arrangements, utilize criteria or methods of administration which have the effect of subjecting persons to discrimination because of their race, color, or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program with respect to individuals of a particular race, color, or national origin.

[3] **42 U.S.C §2000d.**
[4] 49 CFR part 21.

Transit Administration issued a new Circular with guidance to its recipients for compliance with federal Title VI requirements.[5] This guidance lays out requirements for FTA's recipients, including metropolitan planning organizations (MPOs) such as MTC, to ensure that their programs, policies, and activities comply with the Department of Transportation's Title VI regulations. The guidance offers several specific requirements that MPOs must submit to the State and to FTA as part of their overall Title VI Programs, including:

> "All general requirements set out in [the General Requirements section of the] Circular.
> "A demographic profile of the metropolitan area that includes identification of the locations of minority populations in the aggregate;…
> "A description of the procedures by which the mobility needs of minority populations are identified and considered within the planning process;
> "Demographic maps that overlay the percent minority and non-minority populations as identified by Census or ACS data … and charts that analyze the impacts of the distribution of State and Federal funds in the aggregate for public transportation purposes…;
> "An analysis of impacts identified in paragraph (4) that identifies any disparate impacts on the basis of race, color, or national origin, and, if so, determines whether there is a substantial legitimate justification for the policy that resulted in the disparate impacts, and if there are alternatives that could be employed that would have a less discriminatory impact."[6]

Specific methods MTC uses in addressing these requirements for the Regional Transportation Plan are included in Plan Bay Area. In addition to analyzing the long-range Plan as described in this report, MTC's broader Title VI program includes a variety of commitments to ensure nondiscrimination on the basis of race, color, or national origin in its programs and activities.[7]

Environmental Justice: Avoiding, Minimizing, or Mitigating Disproportionately High and Adverse Effects on Low-Income and Minority Populations

Environmental justice is a concept related to, but distinct from civil rights and Title VI. Whereas Title VI provides legal protection from discrimination in Federal programs on the basis of "race, color, or national origin," environmental justice in the context of the region's long range Plan relates to an administrative framework for internal management of federal agencies to ensure their programs and activities incorporate environmental justice principles and do not disproportionately burden low-income and minority populations.

The environmental justice movement emerged following the broader environmental movement of the 1960s and 1970s, out of concern that predominantly minority and low-income communities were bearing disproportionate environmental burdens relative to their non-minority and non-low-income counterparts. In this sense, the "justice" aspect of environmental justice is

[5] Federal Transit Administration Circular 4702.1B, *Title VI Requirements and Guidelines for Federal Transit Administration Recipients:* http://www.fta.dot.gov/documents/FTA_Title_VI_FINAL.pdf

[6] FTA Circular 4702.1B, page VI-1*f*.

[7] For more information, see MTC's Title VI page at: http://www.mtc.ca.gov/get_involved/rights/title_VI.htm

rooted in the basic concept of fairness in terms of an equitable distribution of environmental benefits and burdens, and seeks to promote participation of community members in the decision-making processes that affect them.

What Is Covered under Environmental Justice?

In an effort to address environmental justice concerns mounting across the country during the 1980s and early 1990s, in 1994 President Clinton signed Executive Order 12898, *Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations*. This Order directed each Federal agency to "make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority populations and low-income populations..."[8] Furthermore, the Executive Order directed each agency to develop an agency-wide environmental justice strategy.

Accordingly, the U.S. Department of Transportation issued its original Environmental Justice Order in April 1997, establishing DOT's overall strategy and procedures to be used by DOT to comply with EO 12898. In response to the Memorandum of Understanding on Environmental Justice signed by heads of Federal agencies on August 4, 2011, in an effort to "renew the process under Executive Order 12898 for agencies to provide environmental justice strategies and implementation progress reports,"[9] DOT issued its revised environmental justice strategy, DOT Order 5610.2(a), in March 2012. This Order places responsibility on the head of each Operating Administration within DOT to determine whether programs, policies, or activities for which they are responsible will have an adverse human health or environmental effect on minority and low-income populations and whether that adverse effect will be disproportionately high.

As operating administrations within DOT, the Federal Highway Administration and Federal Transit Administration both define three fundamental environmental justice principles consistent with the Executive and DOT Orders as follows:

To avoid, minimize, or mitigate disproportionately high and adverse human health and environmental effects, including social and economic effects, on minority populations and low-income populations.
To ensure the full and fair participation by all potentially affected communities in the transportation decision-making process.
To prevent the denial of, reduction in, or significant delay in the receipt of benefits by minority and low-income populations.

The DOT Order further defines "disproportionately high and adverse effect on minority and low-income populations" as an adverse effect that:

1. is predominately borne by a minority population and/or a low-income population, or

[8] Executive Order 12898 (1994, Clinton).
[9] Memorandum of Understanding on Environmental Justice and Executive Order 12898, available at: http://www.epa.gov/compliance/ej/resources/publications/interagency/ej-mou-2011-08.pdf.

2. will be suffered by the minority population and/or low-income population and is appreciably more severe or greater in magnitude than the adverse effect that will be suffered by the non-minority population and/or non-low-income population.

In June 2012,the Federal Highway Administration released a new and updated Order 6640.23A, *FHWA Actions to Address Environmental Justice in Minority Populations and Low-Income Populations*.[10] This Order clarifies FHWA's environmental justice policies, guidance, and responsibilities consistent with the updated DOT Order.

In August 2012, the Federal Transit Administration released final guidance in the form of a Circular on incorporating environmental justice principles into plans, projects, and activities that receive funding from FTA.[11] This final guidance provides recommendations to recipients of FTA funds, including metropolitan planning organizations, on how to fully engage environmental justice populations in the public transportation decision-making process; how to determine whether environmental justice populations would be subjected to disproportionately high and adverse human health or environmental effects as a result of a transportation plan, project, or activity; and how to avoid, minimize, or mitigate these effects.

MTC Environmental Justice Principles

In addition to MTC's long-standing commitment to supporting DOT, FHWA, and FTA in fulfilling their environmental justice mission under the Executive Order , MTC's commitment to environmental justice is embodied in the Environmental Justice principles adopted by the Commission in 2007. Developed in a collaborative process involving regional environmental-justice stakeholders and transportation agencies, the adopted principles affirm MTC's ongoing commitments to:

1. Create an open and transparent public participation process that empowers low-income communities and communities of color to participate in decision making that affects them.

2. Collect accurate and current data essential to defining and understanding the presence and extent of inequities, if any, in transportation funding based on race and income.

What Are MTC's Responsibilities?

Recipients' responsibilities regarding environmental justice are part of FTA's annual Master Agreement, which requires recipients, including MTC, to promote environmental justice by following and facilitating FTA's compliance with Executive Order 12898, and following DOT's Order on environmental justice. MTC fulfills these responsibilities through a range of programs and activities that support environmental justice principles, including:

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[10] FHWA Order 6640.23A, available at: http://www.fhwa.dot.gov/legsregs/directives/orders/664023a.htm

[11] FTA Circular 4703.1,*Environmental Justice Policy Guidance for Federal Transit Administration Recipients*, available at: http://www.fta.dot.gov/legislation_law/12349_14740.html.

- Identifying mobility needs of low-income and minority communities through MTC's Community Based Transportation Planning Program.
- Developing and implementing MTC's Public Participation Plan, which lays out specific strategies for engaging low-income and minority populations and other community stakeholders throughout the metropolitan planning process in general, and providing for input on the development of the Equity Analysis methodology and the definitions of environmental justice populations and performance measures in particular.
- Conducting an environmental justice analysis of the Regional Transportation Plan (as referenced in this report), including an analysis of the distribution of regional transportation investments for low-income and minority populations, and analysis of benefits and burdens using technical performance measures to determine whether the proposed investment strategy may present any disproportionately high and adverse human health and environmental effects on environmental justice populations.
- Continually refining and updating the data and analytical methods required to carry out environmental justice analysis at the regional, programmatic level, incorporating both stakeholder feedback and ongoing improvements in analytical technologies and data collection.

Appendix B: Definitions and Data Sources

Definitions

Minority

Minority populations include persons who identify as any of the following groups defined by the Census Bureau in accordance with guidelines provided by the U.S. Office of Management and Budget (OMB):

- American Indian or Pacific Islander alone
- Asian alone
- Black or African-American alone
- Hispanic or Latino of any race
- Native Hawaiian or Pacific Islander alone

For the purposes of this report, all Hispanic and Latino residents of all races are included in the Hispanic and Latino definition, and only non-Hispanic or Latino persons are included in other minority groups. In addition, this report includes with the minority population those persons whose responses identify Some Other Race or Two or More Races. Accordingly, the "non-minority" population consists of all other persons not included in any of the above-named groups, namely those identifying as non-Hispanic white alone. Because the Bay Area is a "majority minority" region, the designation of non-Hispanic white persons as "non-minority" is not intended to be misleading, as this population still represents a relative majority (a plurality) in the region but not an absolute majority. Nevertheless, the term "non-minority" is used here to provide consistency and clarity with regard to federal guidance.

Low-Income Households

Many of the measures analyzed using the regional travel model are able to produce results for all low-income households, or persons living in low-income households, throughout the region, regardless of their residential location. Low-income households are defined in MTC's travel model as having incomes of less than $30,000 a year in 2000 dollars (approximately $38,000 in 2010 dollars), which represent the lowest 28% of households in 2010. Non-low-income households, as a basis for comparison, are defined as having incomes of $30,000 or more per year in 2000 dollars, and represent the upper 72% of households. Due to limitations of other regional data sources, the Plan Bay Area Transportation Investment Analysis and the 2015 TIP Investment Analysis defines low-income households as those earning $50,000 per year or less (in 2006 dollars).

Low-Income Persons

A low income person is defined by MTC as persons identified by the Census Bureau as below 200% of the federal poverty level. MTC established the 200% of poverty threshold in 2001 to account for the Bay Area's high cost of living relative to nationally defined poverty thresholds, the Census Bureau does not adjust the poverty level for different parts of the continental U.S. where different costs of living to factor into the varying affordability of basic necessities. The Census Bureau establishes poverty status for individuals based on a combination of an individual's household composition, size, and income. As of 2010, the 200% threshold

represented a household income of approximately $23,000 a year for a single person living alone, and approximately $47,000 a year for a family of four.

Communities of Concern

In discussing how to define target populations for equity analysis, Equity Working Group members emphasized the importance of spatial location within the region with respect to the impacts of future development patterns and transportation investments. Thus, staff worked with Working Group members to develop a spatial definition of communities of concern, against which performance measure results could be compared with non-communities of concern (typically referred to in the analysis as the "remainder of region"). Except where noted, data used to define communities of concern is from the Census Bureau's 2005–09 American Community Survey, the most recent data set available for this analysis that is readily compatible with MTC's existing travel-analysis-zone definitions used for spatial analysis, which are based on 2000 Census geography.

In response to feedback that the analysis would be more informative with a more focused definition of communities of concern than was used in past RTP Equity Analyses, and a recommendation from MTC's Policy Advisory Council to consider seniors and persons with disabilities in addition to low-income and minority populations, staff proposed a revised community-of-concern definition which identifies communities with multiple overlapping potential disadvantage factors relevant to the Plan Bay Area planning process.

Thresholds were proposed to incorporate the most significant concentrations of eight different target populations while minimizing inclusion of non-target population members. The list of factors, reviewed by the Equity Working Group and approved by MTC's Planning Committee in October 2011, are summarized in the table below.

Communities of concern were then defined as recommended by Equity Working Group members as those tracts having concentrations of 4 or more factors listed above, or having concentrations of both low-income and minority populations. Based on this definition, a total of 305 out of 1,405 Census tracts in the region were identified as communities of concern.

Disadvantage Factor	% of Regional Population[1]	Proposed Concentration Threshold
1. Minority	54%	70%
2. Low Income (<200% of Poverty)	23%	30%
3. Limited English Proficiency	9%	20%
4. Zero-Vehicle Households	9%	10%
5. Seniors 75 and Over	6%	10%
6. Population with a Disability	18%	25%
7. Female-Headed Families with Children	10%	15%
8. Cost-burdened Renters[2]	10%	15%

[1] *Source: 2005-09 American Community Survey tract-level data; data for population with a disability is from 2000 Census, the most recent available.*

[2] *Defined as the share of housing units occupied by renters paying more than 50% of income for rent.*

Data Sources

This section describes the various data sources used to perform the 2015 TIP Investment Analysis.

Decennial Census and American Community Survey

The Census Bureau provides two key data sets used in this report. One, the decennial Census, was most recently completed in 2010 and is a 100% count of all persons in the United States as mandated in the U.S. Constitution. The decennial Census includes complete data on all persons' race and ethnicity as well as age and certain household and family characteristics.

The second Census Bureau data product used is the American Community Survey (ACS). The ACS is an ongoing annual sample-based survey of the U.S. population and provides basic demographic information similar to the decennial Census but also provides far greater detail on various socioeconomic characteristics, including such data relevant to this analysis as household income, poverty status, level of proficiency with English, household vehicle ownership, disability status, housing costs, and information about workers' typical commuting habits.

Because the ACS is based on sample data collected by the Census Bureau (as opposed to 100% counts of the population like the decennial Census), situations calling for very detailed socioeconomic data require using larger samples. Sample sizes can be increased by looking at either larger geographic areas or else multiple years' worth of data for smaller areas. Hence, looking at just one year's worth of data to get a single "snapshot" in time may require looking only at larger geographies such as counties, while looking at very detailed geographies at a neighborhood level may require examining up to five continuous years' worth of sample data collected from the same relatively small area.

In this report, data from the 2010 Census is used primarily in the regional demographic profile and to characterize the regional minority population for the Transportation Investment Analysis described. Data from the American Community Survey is used in the definition of communities of concern, and to characterize the regional low-income population for the Transportation Investment Analysis.

Bay Area Travel Survey (BATS)

The Bay Area Travel Survey (BATS) is MTC's periodic regional household travel survey, the most recent of which was completed in 2000. BATS2000 is an activity-based travel survey that collected information on all in-home and out-of-home activities, including all trips, over a two-day period for more than 15,000 Bay Area households. The survey provides detailed information on many trip characteristics such as trip purpose, mode, origins and destinations, as well as household demographic and socioeconomic characteristics, and informs development of the regional travel model. In this report, BATS is used primarily to provide data on usage of the regional transportation system, and in particular the share of trip-making and vehicle-miles of travel (VMT) on the region's road and highway system, for different demographic and socioeconomic groups in the Transportation Investment Analysis.

The region's household travel survey is currently in the process of being updated as part of a broader statewide travel survey project. Data collection and analysis efforts are currently under way, and new data from the updated regional travel survey is expected to be available sometime in 2014.

Bay Area Transit Passenger Demographic Survey

In 2006 MTC conducted a comprehensive survey of all Bay Area transit operators to collect consistent demographic and socioeconomic data for all the region's transit riders. Data collected included race/ethnicity, age, fare payment information, household income, and vehicle availability. Results for this survey are used in the Transportation Investment Analysis to determine transit-investment benefits to low-income and minority populations based on these groups' share of transit use on individual systems and across the region as a whole. The Transit Passenger Demographic Survey also informs the Title VI Analysis by establishing a consistent demographic profile of the region's overall transit ridership across all systems by minority and non-minority status.

To update this data on an ongoing basis, MTC is now working with transit operators on ridership surveys that will collect a variety of consistent demographic and travel-activity data across all transit systems surveyed. In order to make best use of available funding and resources to support these extensive survey efforts, surveys are being conducted on different systems on a serial basis over time. Surveys are anticipated to be complete for all systems and updated regional data available in 2016.

Appendix C: Maps

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Draft 2015 Transportation Improvement Program:

Projects by County

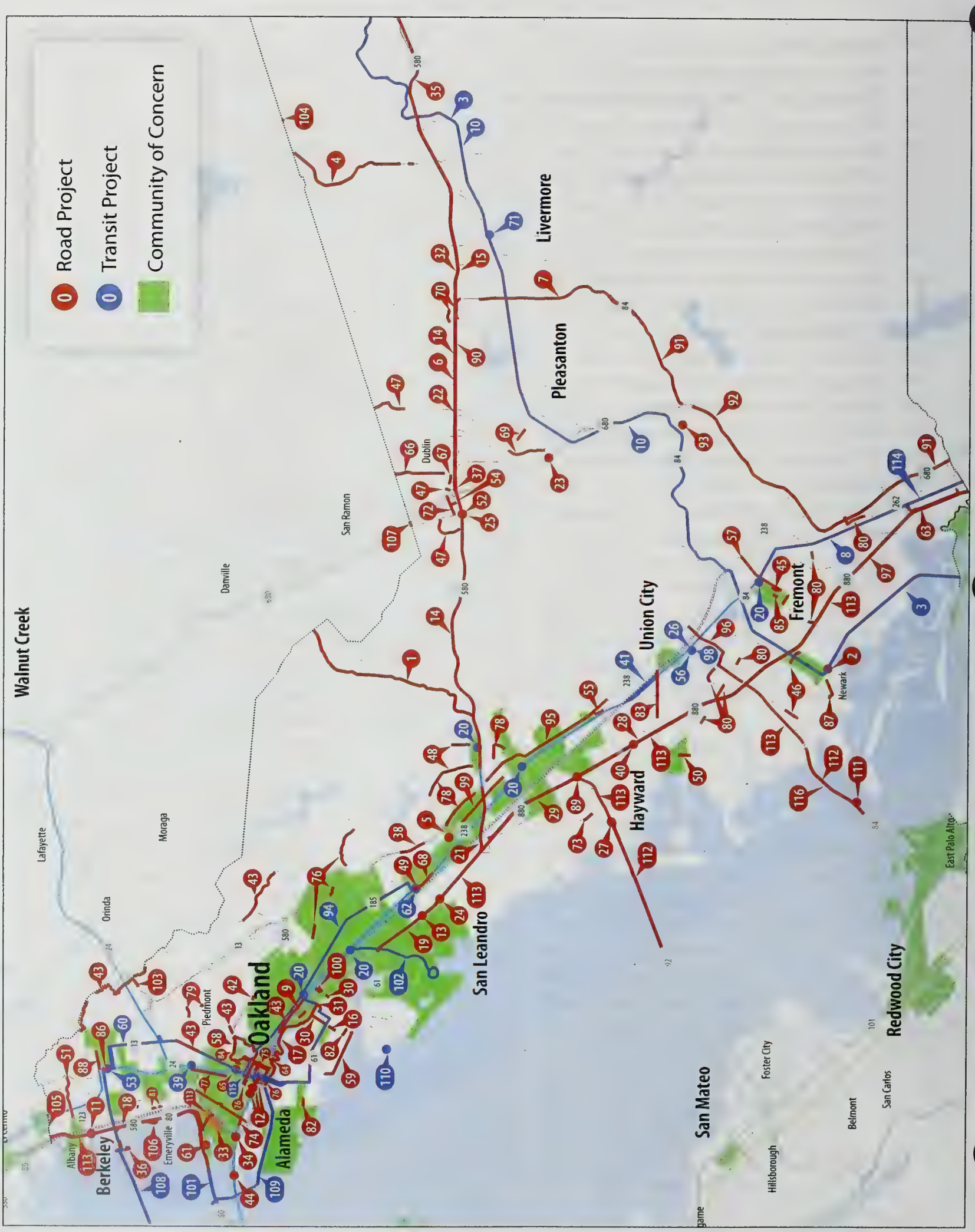
June 2014

Alameda County TIP Projects

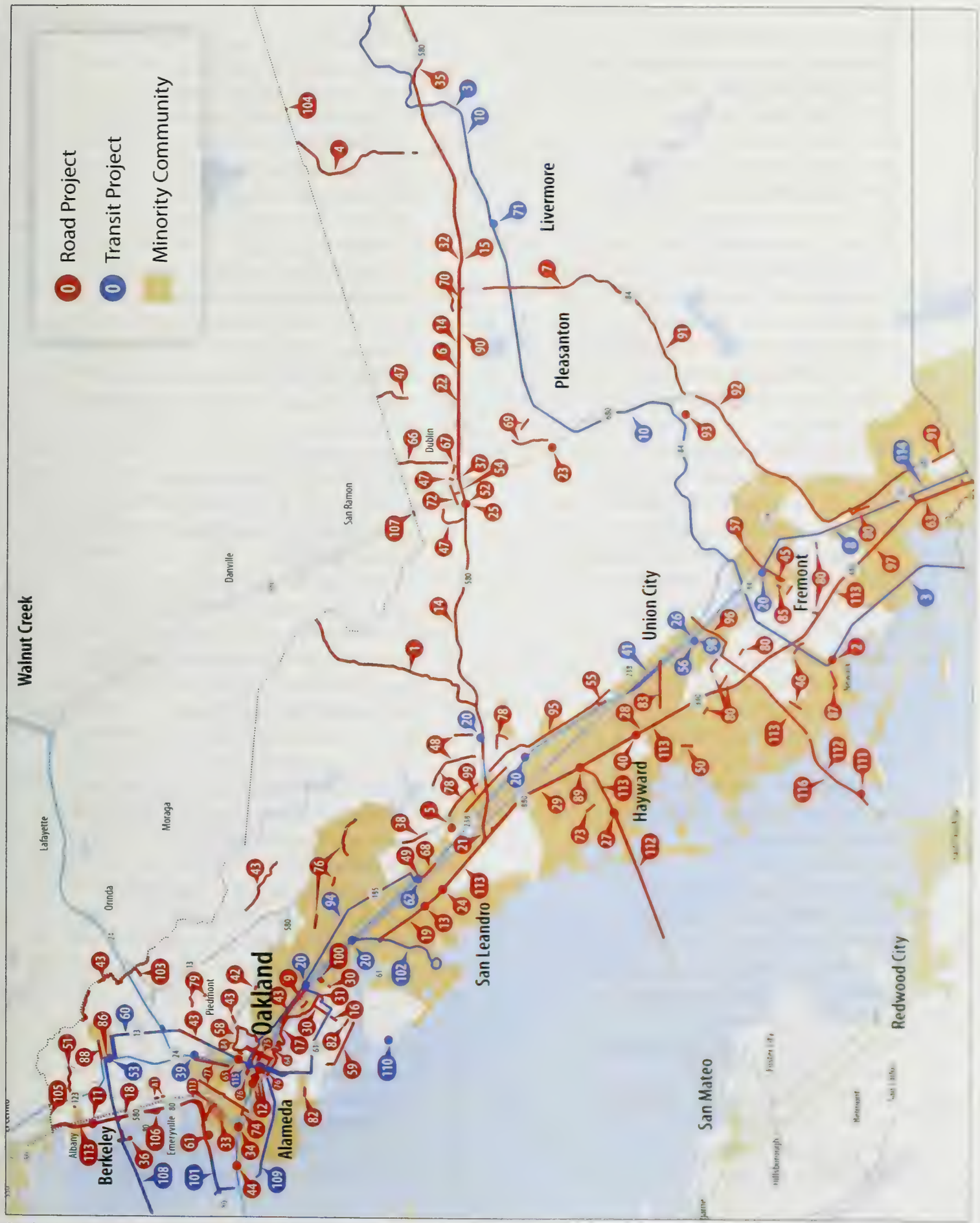
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2 Central Avenue Railroad Overpass at UPRR
3 ACE Track Improvements
4 Alameda: Vasco Road Safety Improvements
5 SR-185 - E. 14th St/ Hesperian Blvd/150th Ave
6 I-580 (TriValley) Right of Way Preservation
7 SR-84 Expressway Widening
8 BART - Warm Springs Extension
9 I-880 North Safety Improvements
10 ACE Signal System Rehabilitation
11 I-80 Gilman Interchange Reconfiguration
12 I-880/Broadway-Jackson Interchange
13 I-880/SR-112 Overcrossing Replacement
14 I-580 (TriValley) Corridor - WB HOV & Connectors
15 I-580 (TriValley) Corridor - EB HOV Lanes
16 City of Alameda - Park St Streetscape
17 Oakland Waterfront Bay Trail
18 I-80 Integrated Corridor Mobility Project
19 I-880 SB HOV Lanes - Marina Blvd to Hegenberger
20 BART Station Electronic Bike Lockers, Ph. 2
21 I-238 Widening Replacement Planting
22 I-580 WB HOT Corridor Project
23 I-680/Bernal Avenue Interchange Improvements
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25 I-580 / Foothill Road Interchange Improvements
26 Union City Intermodal Station Infrastructure
27 SR-92/Clawiter/Whitesell Interchange Improvements
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31 Fruitvale Ave Roadway Bridge Retrofit
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36 Berkeley Bay Trail Extension - Segment One
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38 I-580 Landscaping in the City of San Leandro
39 MacArthur BART Plaza Remodel
40 I-880/Industrial Parkway West Interchange
41 Hayward Shop and Yard Expansion
42 I-580 Oakland 14th to Ardley Noise Barriers
43 Various Streets Resurfacing and Bikeway Facilities
44 Shore Power Initiative
45 Fremont CBD/Midtown Streetscape
46 Newark - Cedar Blvd and Jarvis Ave Pavement Rehab
47 Dublin Citywide Street Resurfacing
48 Alameda Co - Central Unincorporated Pavement Rehab
49 San Leandro Downtown-BART Pedestrian Interface
50 Union City Blvd Corridor Bicycle Imp, Phase 1
51 Albany - Buchanan Bicycle and Pedestrian Path
52 Pleasanton - Foothill/I-580 IC Bike/Ped Facilities
53 Downtown Berkeley BART Plaza/Transit Area Imps.
54 West Dublin BART Golden Gate Drive Streetscape
55 South Hayward BART Area/Dixon Street Streetscape
56 Union City BART East Plaza Enhancements
57 Walnut Argonaut Lane Reduction & Roundabout
58 Lake Merritt Improvement Project
59 Shoreline Dr, Westline Dr and Broadway Bike Lanes
60 AC Transit: Line 51 Corridor
61 SFOBB Gateway Park
62 AC Transit: San Leandro BART Improvements
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65 Oakland 19th Street Uptown Bike Station
66 Dougherty Road Widening
67 Dublin Boulevard Widening
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69 Pleasanton Complete Streets
70 Livermore Various Streets Preservation
71 Livermore Relocation and Restoration of R/R Depot
72 Dublin Boulevard Preservation
73 Hayward - Industrial Boulevard Preservation
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75 Lake Merritt BART Bikeways
76 Oakland Complete Streets
77 Oakland - Peralta and MLK Blvd Streetscape Phase I
78 Alameda Co-Various Streets and Roads Preservation
79 Piedmont Complete Streets (CS)
80 Fremont Various Streets and Roads Preservation
81 Emeryville - Hollis Street Preservation
82 Alameda City Complete Streets
83 Whipple Road Pavement Rehabilitation
84 Lakeside Complete Streets and Road Diet
85 Fremont City Center Multi-Modal Improvements
86 Shattuck Complete Streets and De-couplet
87 Enterprise Drive Complete Streets and Road Diet
88 Hearst Avenue Complete Streets
89 Reconstruct I-880/SR-92 I/C- Replace Planting & Irrigation
90 I-580 Eastbound Express/HOT Lanes

91 I-680 NB HOV/HOT Lane
92 Route 84 Widening, Pigeon Pass to I-680
93 Niles Canyon Rd (SR-84)/Pleasanton-Sunol Rd Interchange Imps
94 AC Transit: East Bay Bus Rapid Transit
95 Route 238 Corridor Improvement
96 East-West Connector in Fremont & Union City
97 I-880/SR-262 I/C and HOV Lanes
98 Union City Intermodal Station Infrastructure
99 E. 14th St/Mission Blvd Streetscape
100 42nd Ave. & High St. I-880 Access Improvements.
101 BART Transbay Tube Seismic Retrofit
102 BART Oakland Airport Connector
103 SR-24 - Caldecott Tunnel 4th Bore
104 Contra Costa County Vasco Road Safety Improvements
105 San Pablo Avenue Streetscape
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107 I-680 Express Lane: Alcosta to Livorna/Rudgear
108 Ferry Service - Berkeley/Albany
109 Treasure Island Ferry Service
110 WETA: Facilities Rehabilitation
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113 Regional Express Lane Network
114 BART - Warm Springs to Berryessa Extension
115 Regional Real-Time Transit Information at BART
116 Dumbarton Bridge Seismic Retrofit

Alameda County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



Alameda County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population

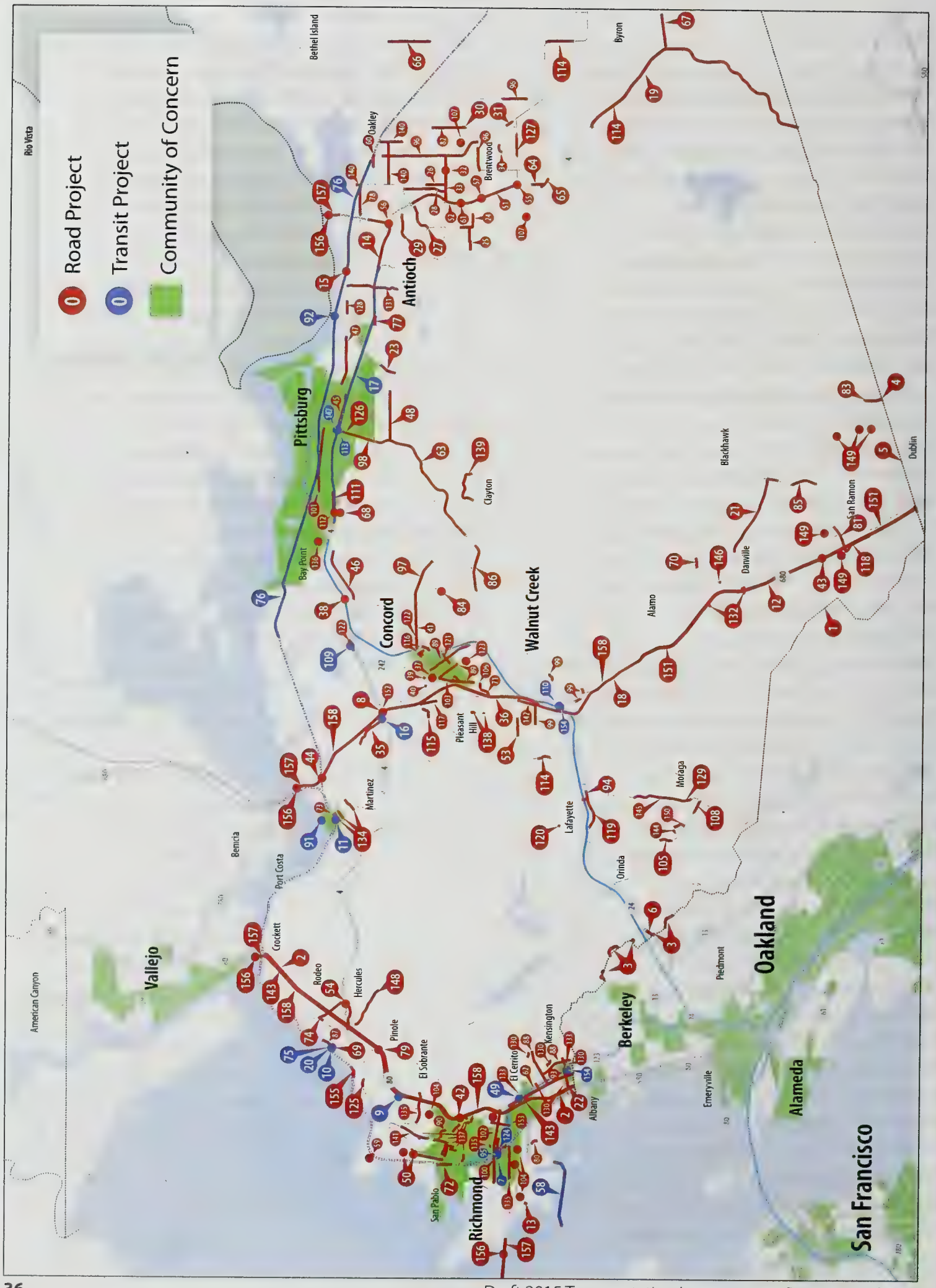


Contra Costa County TIP Projects

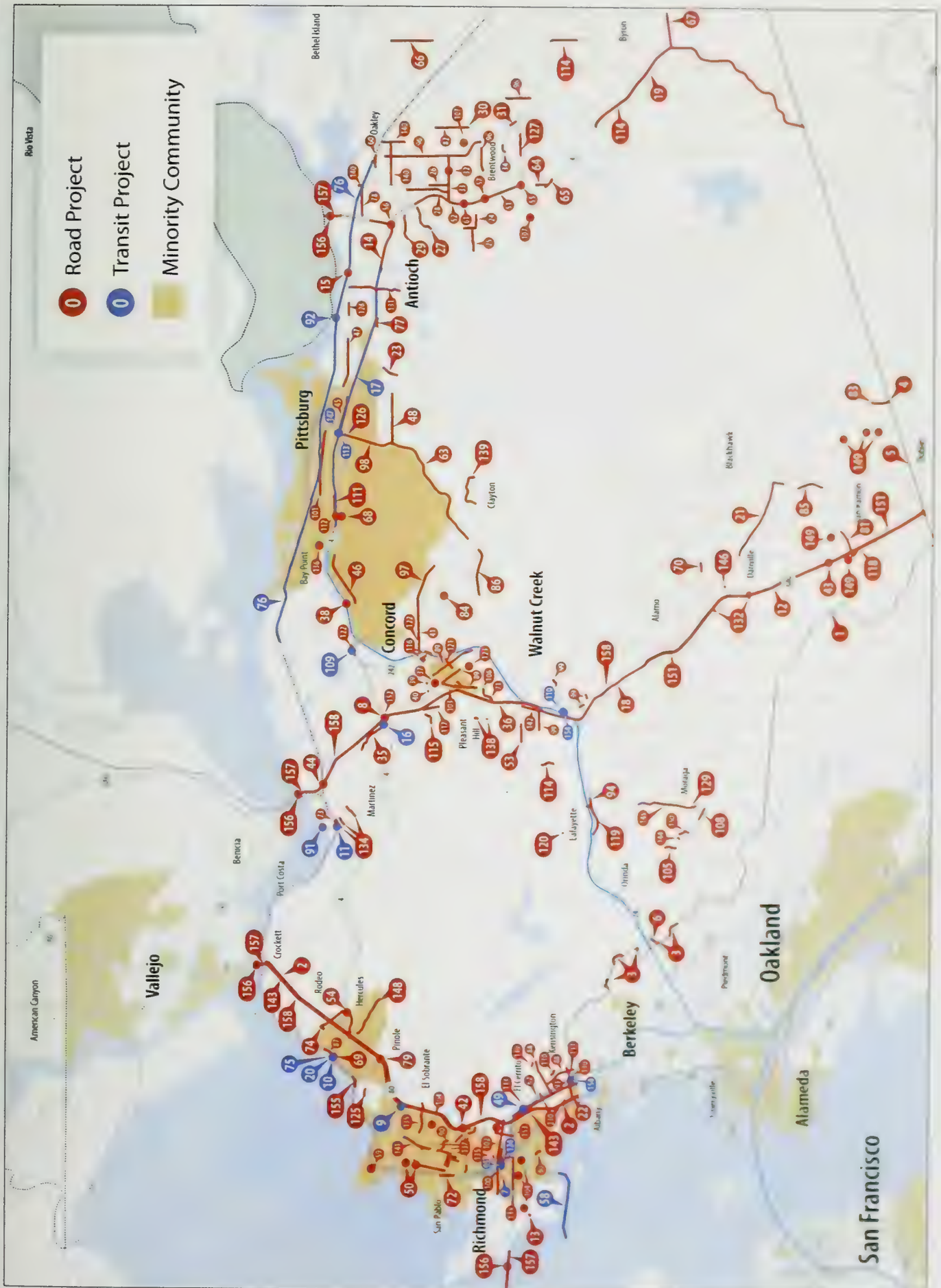
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2 I-80 Integrated Corridor Mobility Project
3 Various Streets Resurfacing and Bikeway Facilities
4 Dublin Citywide Street Resurfacing
5 Dougherty Road Widening
6 SR-24 - Caldecott Tunnel 4th Bore
7 Richmond Transit Village Transit & Ped Imps
8 I-680/SR-4 I/C Reconstruction - Phases 1, 2, 4 & 5
9 AC Transit: Richmond Parkway Transit Center
10 Hercules Intercity Rail Station - Phase 1
11 Martinez Intermodal Station Parking Expansion
12 I-680 Auxiliary Lanes
13 Dornan Drive/Garrard Blvd Tunnel Rehabilitation
14 SR-4 East Widening from Somersville to SR-160
15 Antioch - Wilbur Ave Bridge Widening
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18 I-680 SB HOV Lane Completion
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24 Hillcrest Ave Extension
25 Sand Creek Road Extension
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27 Laurel Road Extension
28 Slatten Ranch Road Extension - Lone Tree to Laurel
29 Antioch - Wild Horse Road Extension
30 SR-4/Brentwood Boulevard Widening - North (Phase I)
31 SR-4 (Brentwood Boulevard) Widening (South)
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33 Lone Tree Way Widening
34 Central Blvd Widening (Phase II)
35 Pacheco Blvd Widening and Realignment
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37 SR-242 / Clayton Road Interchange Improvements
38 SR-4/Willow Pass Interchange Improvements
39 Commerce Avenue Extension
40 Waterworld Parkway Extension and New Bridge
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42 Reconstruct I-80/San Pablo Dam Rd Interchange
43 I-680 Direct Access Ramps
44 I-680/Marina Vista I/C Improvements
45 California Avenue Widening
46 West Leland Extension, Phase II
47 Pittsburg-Antioch Highway Widening
48 James Donlon Extension (Buchanan Rd Bypass)
49 Del Norte Area TOD Bike/Ped/Transit Access Imps
50 Griffin Drive Railroad At-Grade Crossing
51 SR-4 Bypass: Sand Creek to Balfour Rd
52 SR-4 Bypass: Laurel Rd to Sand Creek
53 Pleasant Hill Geary Road Widening Phase 3
54 SR-4/Willow Avenue Ramps
55 SR-4: Balfour Road Interchange
56 SR-4 /SR-160 Interchange and Connectors
57 SR-4 Bypass: Sand Creek Interchange
58 Richmond Ferry Service
59 Atlas Road - New Bridge and Roadway Extension
60 Main Street (Previously SR-4) Realignment in Oakley
61 Mokelumne Trail Bike/Ped Overcrossing
62 San Pablo Avenue Streetscape
63 Kirker Pass Road NB Truck Climbing Lanes
64 John Muir Parkway Extension (Phase I)
65 John Muir Parkway Extension (Phase II)
66 Byron Hwy Extension
67 Byron Highway - Vasco Road Connection
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70 Diablo Road Imps. - Green Valley to Avenida Neuva
71 Pleasant Hill - Buskirk Avenue Widening
72 North Richmond Truck Route Extension
73 Martinez - Court Street Overcrossing, Phase 1
74 Central Hercules Arterial Improvements
75 Construct Phase 2 of Hercules Intermodal Station
76 Double rail track btw Oakley & Port Chicago
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78 Main Street Widening
79 Widen Pinole Valley Road Ramps at I-80
80 Marina Bay Parkway Grade Separation
81 Bollinger Canyon Road Widening (Alcosta to SRVB)
82 Brentwood Blvd North Widening - Phases II & III
83 Contra Costa Co. Camino Tassajara Realignment
84 Concord Clayton Road/Treat Blvd Intersection Imps.
85 Dougherty Road Widening
86 Ygnacio Valley/Kirker Pass Roads Widening
87 Hercules (Bio-Rad) Bay Trail
88 Moeser & Ashbury Ped/Bike Corridor Improvements
89 Monument Corridor Pedestrian and Bikeway Network I
90 El Portal Drive Rehabilitation / Gateway Phases II

91 Martinez Ferry Service
92 Antioch Ferry Service
93 El Cerrito Central Ave & Liberty St Streetscape Imp
94 Lafayette Downtown Bike/Ped Imp & Streetscape
95 Richmond Transit Village: Nevin Imps BART-19th
96 Brentwood 2012 Pavement Management Program
97 Concord Blvd Pavement Rehabilitation
98 Pittsburg Railroad Avenue Pavement Rehab
99 Walnut Creek Various Arterials & Collectors Rehab
100 Richmond Transit Village: Nevin Imps 19th-27th
101 Pittsburg N. Parkside Dr. Bike Lanes and Sidewalks
102 Richmond Barrett Avenue Bicycle Lanes
103 Concord Monument Corridor Shared Use Trail
104 SR-2S - Nystrom,Coronado,Highland,Wilson & Wash.
105 Moraga Way Pedestrian Pathway
106 Lisa Lane Sidewalk Project
107 Brentwood Area Schools Bike/Ped Access Imps
108 Moraga Way Streetscape
109 CCCTA: Maintenance Facility Rehabilitation
110 Walnut Creek BART TOD Access Improvements
111 Canal Road Bicycle and Pedestrian Facilities
112 Bailey Road-State Route 4 Interchange
113 eBART Railroad Avenue Station
114 Contra Costa County Various Streets & Road Preservation
115 Golf Club Rd Roundabout and Bike/Ped Improvements
116 Concord BART Station Bike/Ped Access Improvements
117 Pleasant Hill - Contra Costa Blvd. Preservation
118 San Ramon Valley Boulevard Preservation
119 Mt. Diablo Blvd West End Preservation
120 Happy Valley Rd. Walkway SRTS Improvements
121 Detroit Avenue Bicycle and Pedestrian Improvements
122 Concord Various Street Preservation
123 Ped/Bike Traffic Signal at Oak Grove Rd/Sierra Rd
124 Richmond BART Station Intermodal Improvements
125 Pinole - San Pablo Avenue Preservation
126 Pittsburg - Railroad Avenue Preservation
127 Balfour Road Preservation
128 Antioch Ninth Street Preservation
129 Moraga Various Streets and Roads Preservation
130 El Cerrito Various Streets and Roads Preservation
131 Antioch - SRTS Pedestrian Improvements
132 Danville Various Streets and Roads Preservation
133 El Cerrito Ohlone Greenway Bike/Ped Improvements
134 Martinez Various Streets and Roads Preservation
135 Richmond Local Streets and Roads Preservation
136 Port Chicago Hwy/Willow Pass Rd Bike Ped Upgrades
137 San Pablo Various Streets and Roads Preservation
138 Boyd Road/Elinora Drive SRTS Sidewalk Installation
139 Clayton Various Streets Preservation
140 Oakley Various Streets and Roads Preservation
141 San Pablo Avenue Bicycle and Ped Improvements
142 Walnut Creek - North Main Street Preservation
143 Interstate 80 Corridor Real Time Rideshare
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146 Vista Grande Street Pedestrian Improvements/SR-2S
147 Pittsburg Multimodal Transit Station Access Imps.
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149 Citywide School Crossing Enhancement Project
150 Ivy Drive Pavement Rehabilitation
151 I-680 Express Lane: Alcosta to Livorna/Rudgear
152 I-680 / SR-4 Interchange Reconstruction - Phase 3
153 37th Street Bicycle & Pedestrian Improvements
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155 Breuner Marsh Restoration and Public Access
156 Toll Bridge Maintenance
157 Toll Bridge Rehabilitation Program
158 Regional Express Lane Network

Contra Costa County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



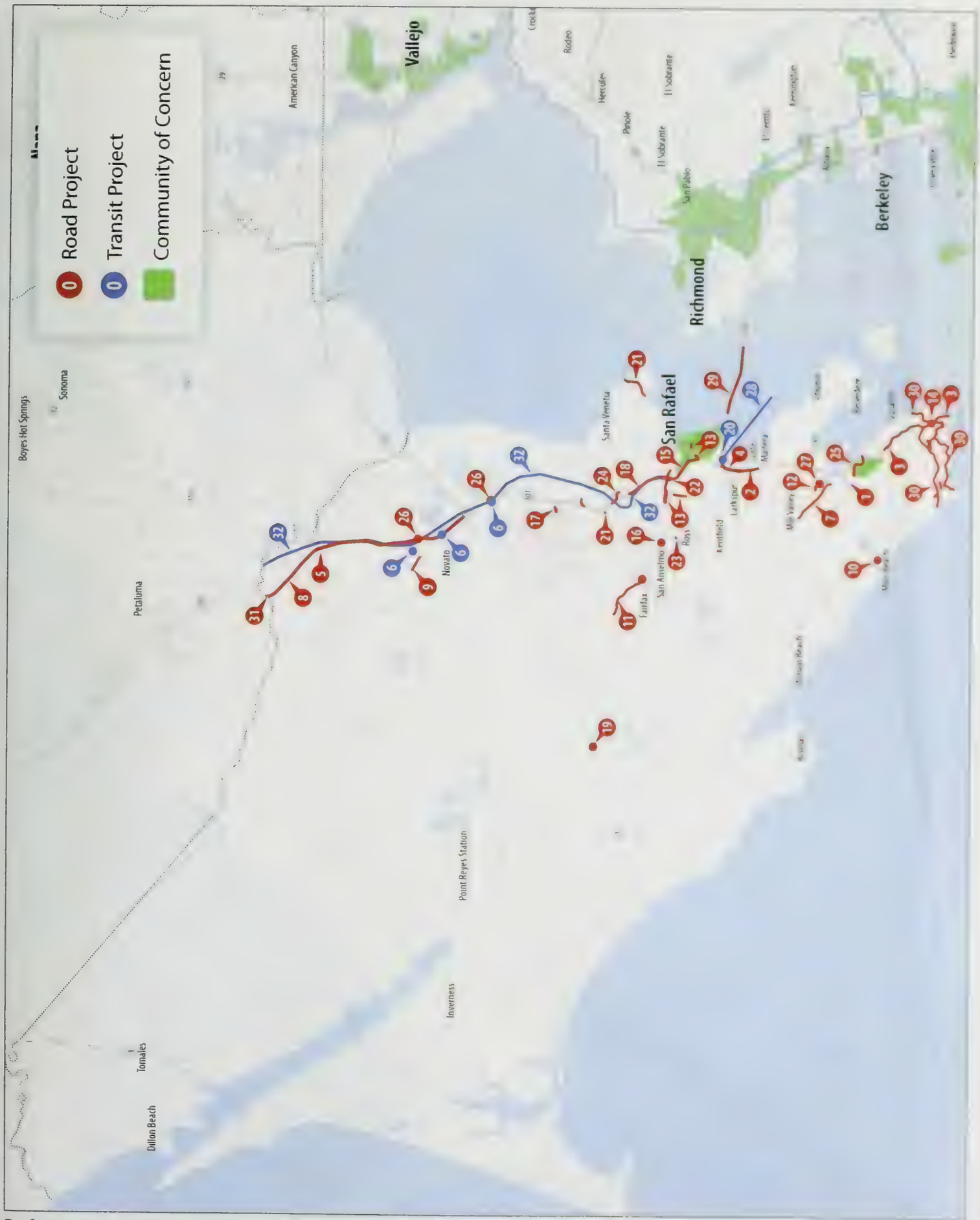
Contra Costa County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



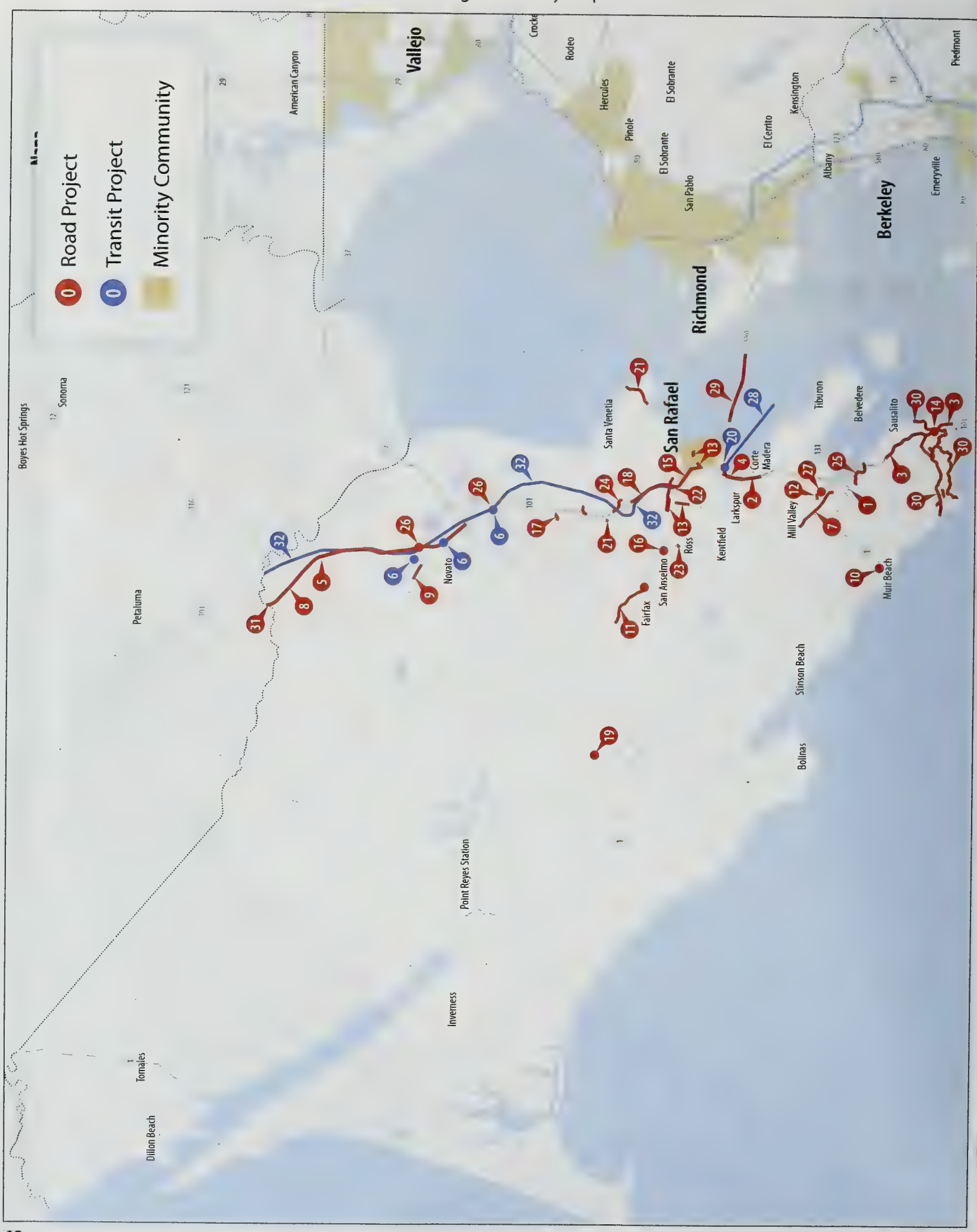
Marin County TIP Projects

1 Tennessee Valley Bridge
2 US 101 / Greenbrae Interchange Corridor Improvements
3 US 101 - Golden Gate Botanical Area Revegetation
4 Central Marin Ferry Access Improvements
5 US 101 HOV Lanes - Marin-Sonoma Narrows (Marin)
6 Marin county: Bus Stop Improvements
7 Mill Valley - Miller Avenue Rehabilitation
8 Marin Bike/Ped Facility North of Atherton Ave.
9 Novato Boulevard Widening, Diablo to Grant
10 Marin Parklands Visitor Access, Phase 2
11 Sir Francis Drake Boulevard Westbound Bike Lane
12 Mill Valley - Sycamore Ave Pedestrian Facilities
13 San Rafael Citywide Street Resurfacing
14 Sausalito - Bridgeway/US 101 Off Ramp Bicycle Imps
15 San Rafael: Sidewalk along East Francisco Blvd
16 San Anselmo - Center Blvd Bridge Replace (27C0079)
17 Miller Creek Road Bike Lanes and Ped Improvements
18 Highway 101 Landscaping for Gap Closure Project
19 Mountain View Rd Bridge Replacement - 27C0154
20 Larkspur Ferry Terminal Parking Garage
21 San Rafael Various Streets and Roads Preservation
22 San Rafael Transit Center Pedestrian Access Imps.
23 Bolinas Avenue and Sir Francis Drake Intersection
24 North Civic Center Drive Improvements
25 Donahue Street Road Rehabilitation Project
26 DeLong Avenue and Ignacio Boulevard Resurfacing
27 Bayfront Park Recreational Bay Access Pier Rehab
28 Ferry channel & berth dredging.
29 Toll Bridge Rehabilitation Program
30 Golden Gate Nat'l Rec. Area Road Rehab
31 US 101 Marin/Sonoma Narrows (Sonoma)
32 Sonoma Marin Area Rail Corridor

Marin County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



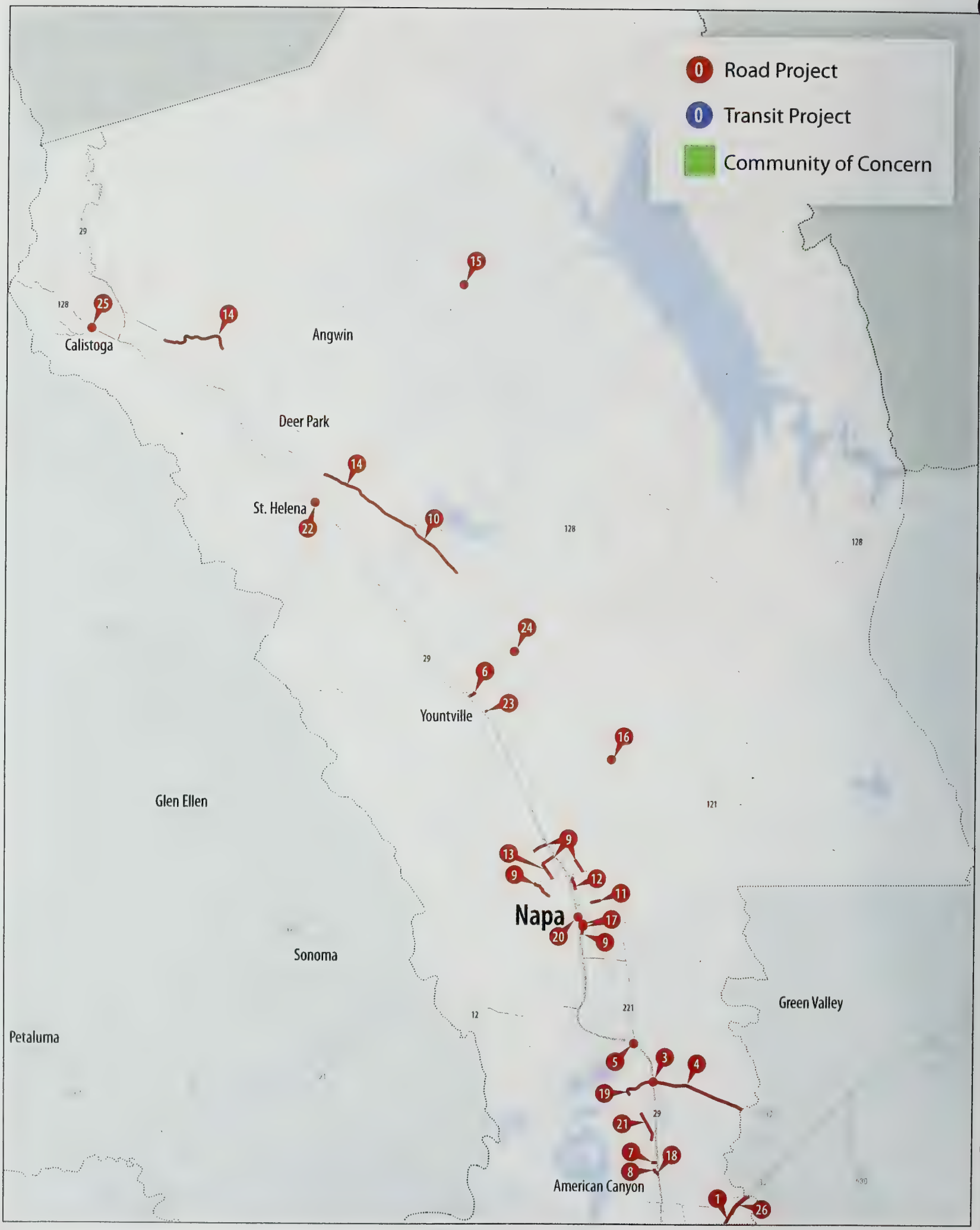
Marin County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



Napa County TIP Projects

1 Interstate 80 Corridor Real Time Rideshare
3 Design of SR-12/29 /Airport Blvd Grade Separation
4 SR-12 (Jamieson Canyon Road) Widening
5 SR-12/29/221 Soscol Junction Interchange Study
6 Yountville - Napa County Bicycle Path Extension
7 American Canyon Napa Junction Elementary Ped Imps
8 American Canyon: Theresa Ave Sidewalk Imp Phase 3
9 Napa (City): 2011 Cape Seal Pavement Rehab
10 Napa County: Silverado Trail Paving Phase F
11 Napa: Lincoln Ave Bike Lane - Jefferson to Railroad
12 Napa City North/South Bike Connection
13 Napa City - Linda Vista Pavement Overlay
14 Silverado Trail Phase H Rehab
15 Hardin Rd Bridge Replacement - 21C0058
16 Loma Vista Dr Bridge Replacement - 21C0080
17 California Boulevard Roundabouts
18 Eucalyptus Drive Realignment Complete Streets
19 Airport Boulevard Rehabilitation
20 Highway 29/Napa Creek Bicycle Path Upgrade
21 Devlin Road and Vine Trail Extension
22 Hwy 29 Grayson Ave. Signal Construction
23 Hopper Creek Pedestrian Bridge and Path Project
24 Silverado Trail Yountville-Napa Safety Improvement
25 SR-128 and Petrified Forest Intersection Imp
26 Cordelia Hills Sky Valley

Napa County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



Napa County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



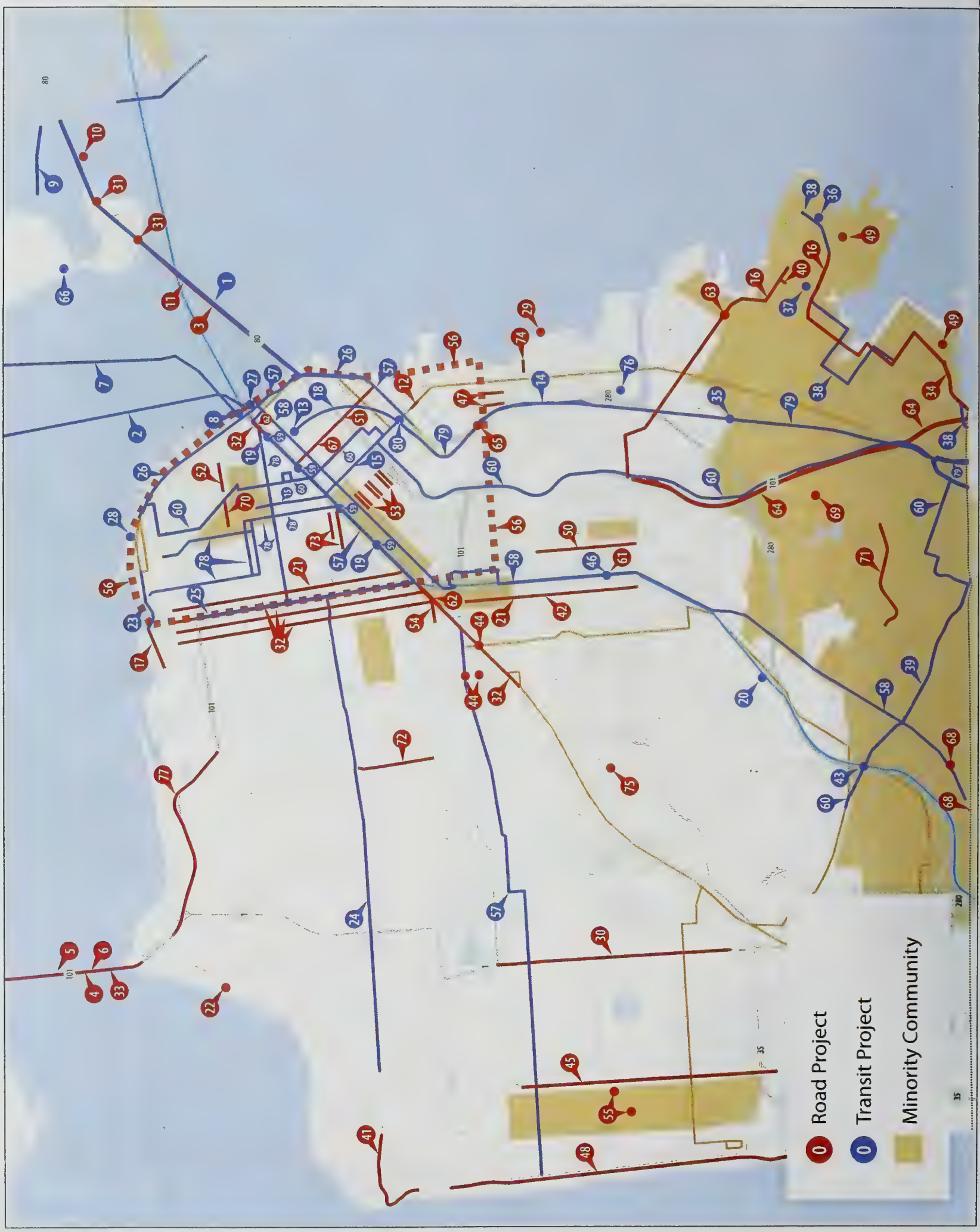
San Francisco County TIP Projects

1 BART Transbay Tube Seismic Retrofit
2 Richmond Ferry Service
3 Interstate 80 Corridor Real Time Rideshare
4 Golden Gate Bridge Seismic Retrofit, Phase 3B
5 Golden Gate Bridge-Suicide Deterrent Safety Barrier
6 Golden Gate Bridge Seismic Retrofit, Ph: 1-3A
7 Ferry Service - Berkeley/Albany
8 SF Ferry Terminal/Berthing Facilities
9 Treasure Island Ferry Service
10 Toll Bridge Maintenance
11 Toll Bridge Rehabilitation Program
12 4th St Bridge Seismic Retrofit & Rehab
13 Transbay Terminal/Caltrain Downtown Extension: Ph. 1
14 Caltrain Electrification
15 SF Muni Third St LRT Phase 2 - New Central Subway
16 Bayview Transportation Improvements
17 Golden Gate Nat'l Rec. Area Road Rehab
18 Transbay Terminal/Caltrain Downtown Extension: Ph. 2
19 BART/MUNI Direct Connection Platform
20 Glen Park Intermodal Facility
21 Citywide: San Francisco Street Improvements
22 Golden Gate Nat'l Rec. Area Non-Motorized Access
23 Historic Streetcar Extension to Fort Mason
24 Geary Bus Rapid Transit
25 Van Ness Avenue Bus Rapid Transit
26 Embarcadero Corridor Transportation Improvements
27 San Francisco Downtown Ferry Terminal
28 Fisherman's Wharf Ferry Terminal Improvements
29 Pier 70 Shoreline Open Space Improvements
30 SR-1 - 19th Avenue Median Improvements
31 Yerba Buena Island (YBI) Ramp Improvements
32 SFGO-Corridor Management
33 Golden Gate Bridge - Moveable Median Barrier
34 Harney Way Roadway Widening
35 Oakdale Caltrain Station
36 Transit Center in Hunters Point
37 Extended Trolleybus Service into Hunters Point
38 Geneva-Harney BRT to Hunters Point - Geneva Extension
39 Geneva-Harney BRT to Hunters Point - Geneva Portio
40 San Francisco - Arelious Walker Stairway Imps.
41 San Francisco Point Lobos Streetscape
42 San Francisco Bicycle Parking
43 Balboa Park Station Eastside Walkway Project
44 Church and Duboce Bike/Ped Enhancements
45 Sunset Boulevard Ped Safety and Education
46 24th Street/Mission BART Plaza Pedestrian Imps.
47 Mission Bay/UCSF Multi-Modal Transportation Imps.
48 Great Highway Restoration
49 Hunters Pt Shipyard and Candlestick Pt Local Roads
50 San Francisco - Folsom Streetscape and Rehab
51 Second St Phase 1 - SFgo Signal Rehab and Upgrade
52 San Francisco - Broadway Streetscape and Rehab
53 South of Market Alleyways Improvements, Phase 2
54 San Francisco Market & Haight St. Transit/Ped Imps
55 Sunset and AP Giannini SR-2S Improvements
56 San Francisco Parking Pricing and Regulation Study
57 SFMTA: N-Judah Customer First Program
58 SFMTA: Mission Customer First Program
59 Regional Real-Time Transit Information at BART
60 SFMTA: 8X Customer First Program
61 BART 24th Street Train Control Upgrade
62 SF- Better Market Street Transportation Elements
63 HOPE SF Street Grid Phase 1
64 HOV Lanes on US 101 in SF - Project Development
65 HOV Ramps: I-280/6th St Ramps-Project Development
66 Construct Treasure Island Bus Terminal Facility
67 SF- Second Street Complete Streets and Road Diet
68 SF- Longfellow ES Safe Routes to School
69 SF-ER Taylor ES Safe Routes to School
70 SF- Broadway Chinatown Complete Streets
71 Mansell Corridor Complete Streets
72 Masonic Avenue Complete Streets
73 Eddy and Ellis Traffic Calming Improvement Project
74 Pier 70 19th Street & Illinois Street Sidewalk
75 Twin Peaks Connectivity Planning
76 Islais Creek Motor Coach Facility
77 US 101 Doyle Drive Replacement
78 Cable Car Traction Power & Guideway Rehab
79 Caltrain: Systemwide Security
80 Caltrain South Terminal Phase II and III

San Francisco County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



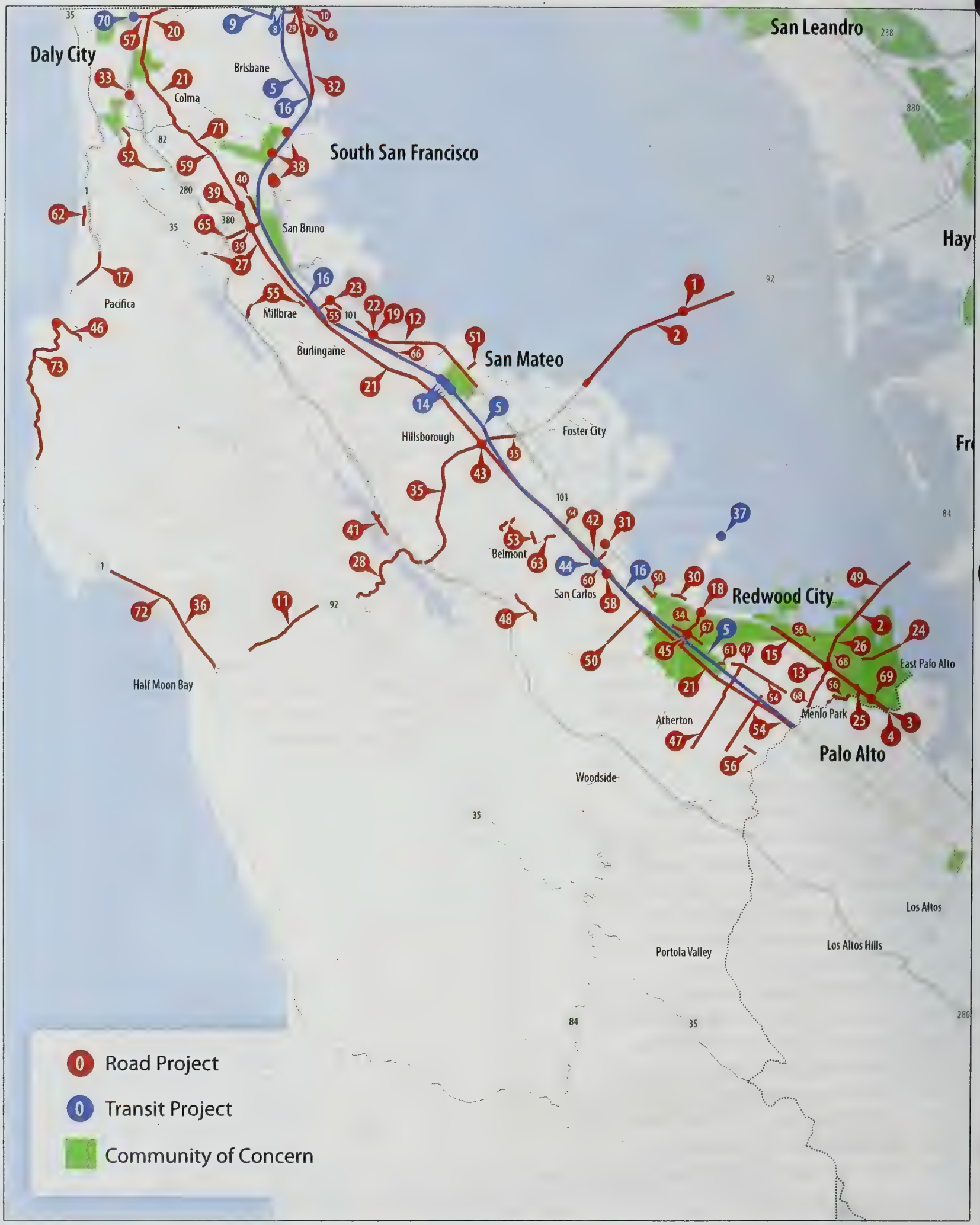
San Francisco County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



San Mateo County TIP Projects

1 Toll Bridge Maintenance
2 Toll Bridge Rehabilitation Program
3 SR-85 Express Lanes
4 Santa Clara County - US 101 Express Lanes
5 Caltrain Electrification
6 Bayview Transportation Improvements
7 Harney Way Roadway Widening
8 Geneva-Harney BRT to Hunters Point - Geneva Extension
9 Geneva-Harney BRT to Hunters Point - Geneva Portio
10 HOV Lanes on US 101 in SF - Project Development
11 SR-92 Shoulder Widening & Curve Correction
12 US 101 Auxiliary Lanes - 3rd to Millbrae
13 US 101 / Willow Road Interchange Reconstruction
14 San Mateo Bridges Replacement
15 US 101 Auxiliary Lanes - Marsh Road to SCL County
16 Caltrain: Systemwide Security
17 SR-1 - Fassler to West Port Drive Widening
18 US 101 / Woodside Interchange Improvement
19 US 101 / Broadway Interchange Improvement
20 SR-82 Daly City-Mission St. Pedestrian Imps.- Ph I
21 SR-82 - El Camino Real Grand Boulevard Initiative
22 SR-1 San Pedro Creek Bridge Replacement
23 US 101 Millbrae Ave Bike/Ped Bridge
24 Bay Rd Bicycle/Ped Improvements Phase II & III
25 US 101 University Ave Interchange Improvements
26 Dumbarton Bridge to US-101 Connection Study
27 SR-82 El Camino Real: Grand Boulevard Initiative
28 Construct WB Lane on SR-92
29 US 101/Candlestick Interchange
30 Blomquist Street Extension
31 US-101/Holly Interchange modification
32 US 101 Aux Lanes from Sierra Point to SF County Line
33 I-280/Route 1 Interchange Safety Improvements
34 Woodside Road Widening - El Camino to Broadway
35 Improve SR-92 from SM Bridge to I-280
36 Route 1 Improvements in Half Moon Bay
37 WETA: Redwood City Ferry Service
38 US 101/Produce Avenue Interchange
39 San Bruno Street Medians and Grand Blvd Imps
40 San Bruno Transit Corridor Pedestrian Imps
41 CSRT South of Dam Conversion
42 East Side Community Transit Connectivity Imps
43 SR-92/El Camino Real (SR-82) Ramp Modifications
44 Reconfiguration of San Carlos Transit Center
45 Middlefield Rd and Woodside Rd Intersection Improvements
46 FY 2014-15 Linda Mar Boulevard Pavement Rehab
47 Atherton-Fair Oaks-Middlefield Preservation
48 Crestview Drive Pavement Rehabilitation Phase 2
49 Dumbarton Bridge Seismic Retrofit
50 Redwood City Various Streets Overlay
51 Mount Diablo Ave. Rehabilitation
52 Callan Boulevard and King Drive Resurfacing
53 Belmont Pavement Reconstruction Program
54 Menlo Park-Various Streets Bike /Ped Improvements
55 Millbrae Various Streets and Roads Preservation
56 Menlo Park Various Streets and Roads Preservation
57 John Daly Boulevard Bicycle /Ped Improvements
58 San Carlos Streetscape and Ped Improvements
59 South San Francisco Grand Blvd Ped Improvements
60 El Camino Real Pedestrian Upgrades
61 Semicircular Rd Bicycle / Ped Access Improvements
62 Palmetto Avenue Streetscape
63 Ralston Avenue Pedestrian Route Improvements
64 Old County Road Bicycle Pedestrian Improvements
65 San Bruno Ave Street Medians Improvements
66 Carolan Ave Complete Streets and Road Diet
67 Middlefield Road Bicycle / Ped Improvements
68 Menlo Park - Willow Rd Traffic Signal Modification
69 US-101 Pedestrian Bicycle Overcrossing
70 Daly City BART Station Intermodal Improvement
71 Grand Boulevard Initiative Complete Street Program
72 Midcoast Multi-Modal Trail
73 SR-1 Devils Slide Bypass

San Mateo County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



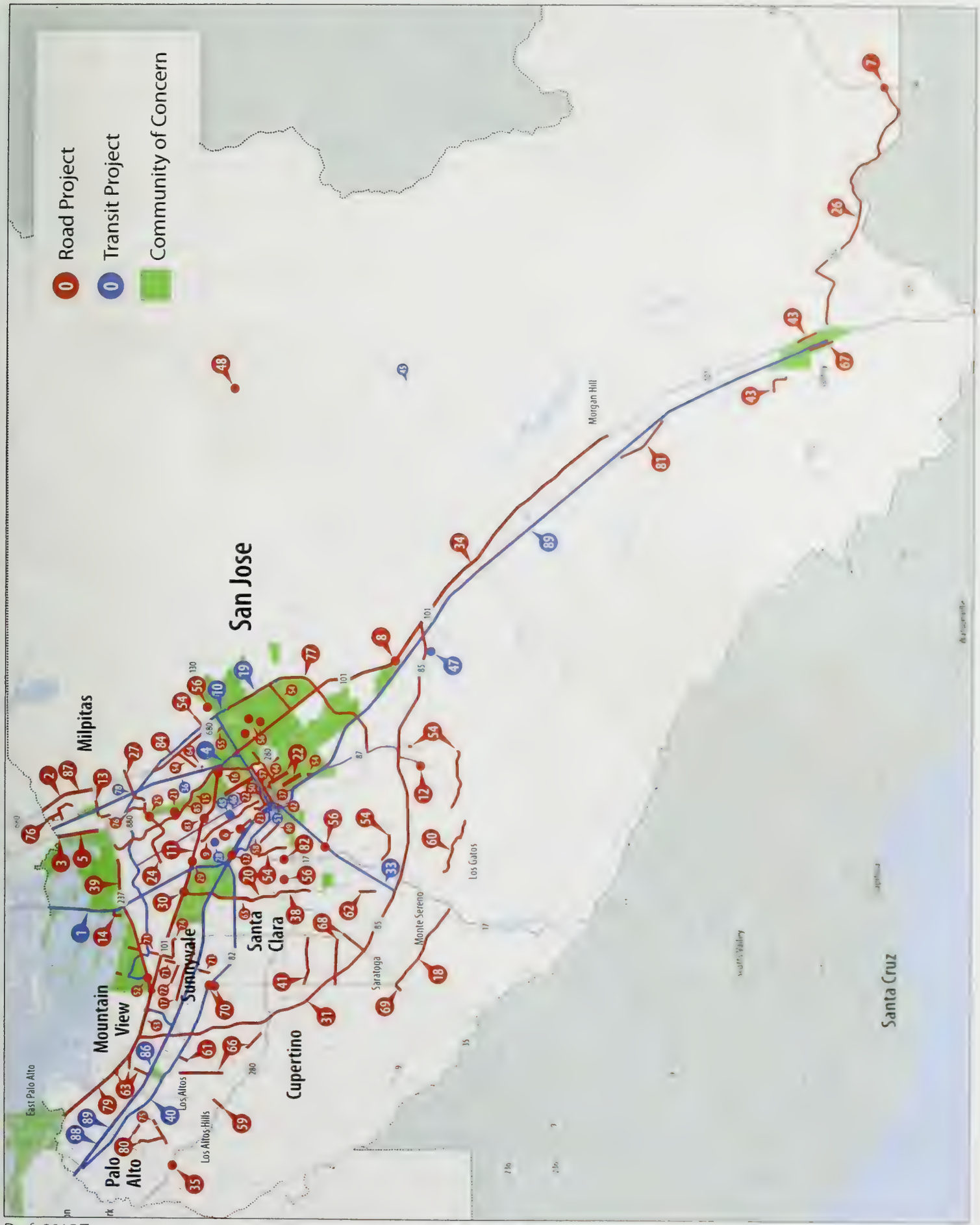
San Mateo County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



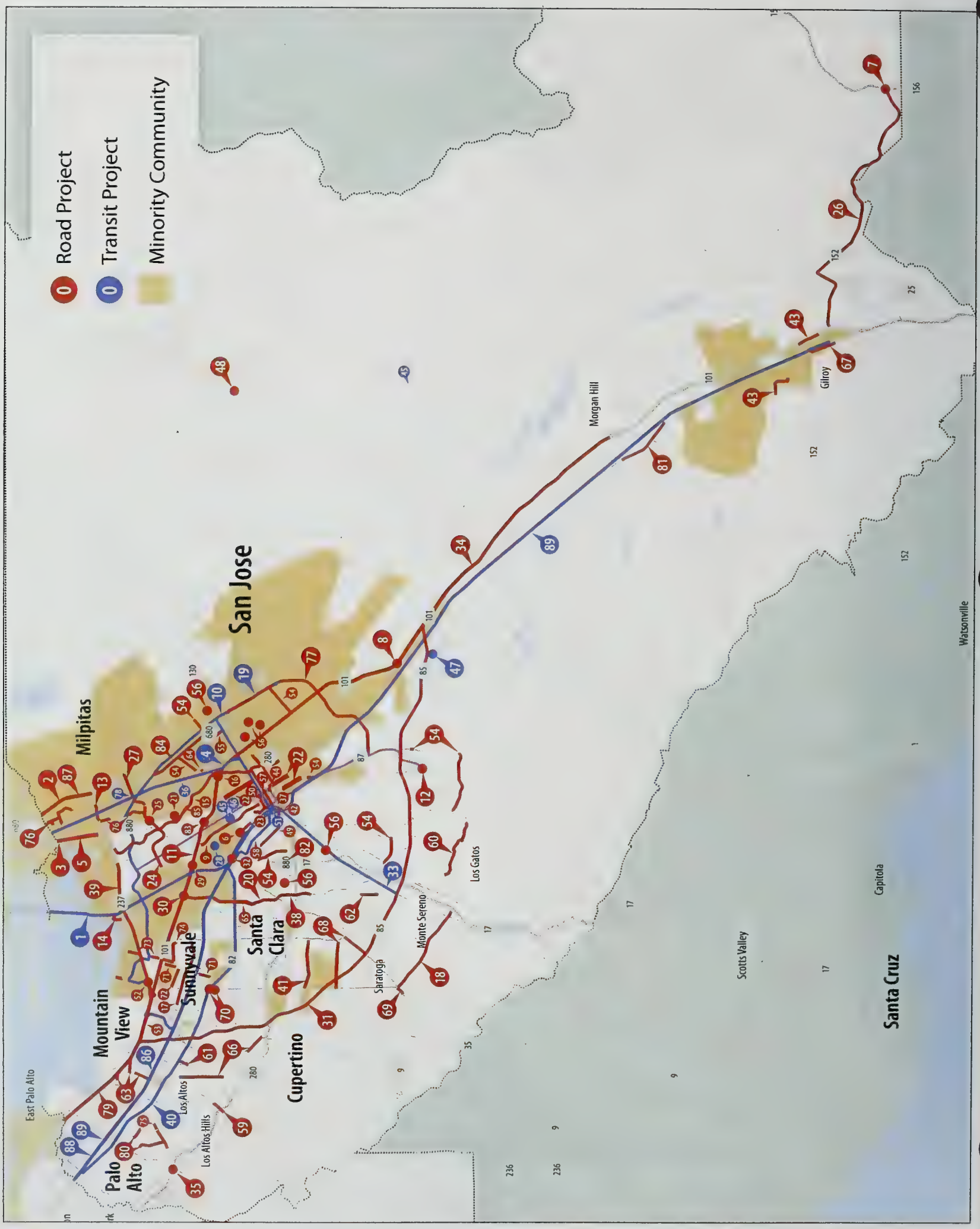
Santa Clara County TIP Projects

1 ACE Track Improvements
2 I-680 NB HOV/HOT Lane
3 I-880/SR-262 I/C and HOV Lanes
4 BART - Berryessa to San Jose Extension
5 Regional Express Lane Network
6 I-880 Coleman Avenue I/C Reconfiguration
7 SR-152/SR-156 Interchange Improvements
8 US 101 / Blossom Hill I/C Reconstruction & Road Widening
9 SR-87 Guadalupe Freeway Corridor Landscaping
10 Capitol Expressway LRT Extension- Phase II
11 US 101 / SR-87 - Trimble Road Landscaping
12 Almaden Expressway Trail
13 SR-237 - Calaveras Blvd Widening
14 Bay Trail Reach 9 & 9B
15 Coyote Creek Trail
16 US 101 / Mabury New Interchange
17 Central Expressway Auxiliary Lanes
18 Highway 9 Safety Improvements
19 Santa Clara/Alum Rock Transit Improvement/BRT
20 San Tomas Expressway Box Culvert Rehabilitation
21 San Jose Charcot Avenue Extension Over I-880
22 Downtown San Jose Bike Lanes and De-couplet
23 Coleman Avenue Widening from I-880 to Taylor St.
24 Montague Expwy Widening - Lick Mill-Trade Zone
25 I-880/Montague Expressway Interchange Improvements
26 New SR-152 Alignment Study
27 Montague Expwy Widening - Trade Zone - I-680
28 San Jose International Airport People Mover
29 US 101 SB Trimble Road/De La Cruz Boulevard/Centra
30 US 101/Montague Expressway Interchange
31 SR-85 Express Lanes
32 Santa Clara Caltrain Station Bike/Ped Tunnel
33 LRT Extension to Vasona Junction
34 Santa Clara County - US 101 Express Lanes
35 Page Mill Road/I-280 Interchange Reconfiguration
36 BART - Warm Springs to Berryessa Extension
37 San Jose - Autumn Street Extension
38 San Tomas Expressway Widening
39 SR-237 Express Lanes: Zanker Rd to Mathilda Ave
40 El Camino Real Bus Rapid Transit
41 Innovative Bicycle Detection System
42 San Jose: Los Gatos Creek Reach 5 Underpass
43 Gilroy New Ronan Channel and Lions Creek Trails
44 San Jose - San Carlos Multimodal Phase 2
45 VTA: LRV Body Shop Dust Separation Wall
46 VTA: LRV Maintenance Shop Hoist
47 VTA: Update Santa Teresa Interlock Signal House
48 Isabel Bridge Replacement (37C0089)
49 Park Avenue Multi-Modal Improvements
50 St. John Street Multi-Modal Improvements - Phase 1
51 South Terminal Wayside Power
52 SR-237/US 101/Mathilda Interchange Modifications
53 SR-237 Express Lanes : Mathilda Avenue to SR-85
54 San Jose Citywide Pavement Management Program
55 Jackson Ave Bicycle and Pedestrian Improvements
56 San Jose Pedestrian Oriented Traffic Signals
57 St. Johns Bikeway and Pedestrian Improvements
58 The Alameda Grand Blvd. Phase 2
59 El Monte Road Preservation
60 Hillside Road Preservation
61 Mountain View Castro Street Complete Streets
62 Virginia Avenue Sidewalks
63 Mountain View Various Rd Preservation & Bike Lanes
64 Upper Penitencia Creek Multi-Use Trail
65 San Tomas Aquino Spur Multi-Use Trail Phase 2
66 Los Altos Various Streets and Roads Preservation
67 Eigleberry Street Resurfacing
68 Prospect Rd Complete Streets
69 Saratoga Village Sidewalk Rehabilitation
70 Sunnyvale/Saratoga Road Bike/Ped Safety Enhancements
71 Fair Oaks Avenue Bikeway and Streetscape
72 Maude Avenue Bikeway and Streetscape
73 Sunnyvale East and West Channel Multi-Use Trails
74 Duane Avenue Roadway Preservation
75 Arastradero Road Schoolscape/Multiuse Trail
76 Milpitas Various Streets and Roads Preservation
77 Capitol Expressway ITS and Bike/Ped Improvements
78 Montague Expwy Ped Bridge at Milpitas BART Study
79 Adobe Creek/ Highway 101 Bicycle Pedestrian Bridge
80 Palo Alto Various Street Resurfacing & Streetscape
81 Monterey Road Preservation
82 I-880 Stevens Creek Landscaping
83 US 101 Zanker Road /North 4th Street/Skyport Drive
84 I-680 Soundwalls - Capitol Expwy to Mueller Ave
85 Coyote Creek Trail Reach 5.3 (Brokaw to UPRR)
86 Mountain View Double Track Improvements - Phase II
87 I-680 Sunol Grade Southbound HOV Lanes - SCL Final
88 Caltrain Electrification
89 Caltrain: Systemwide Security

Santa Clara County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



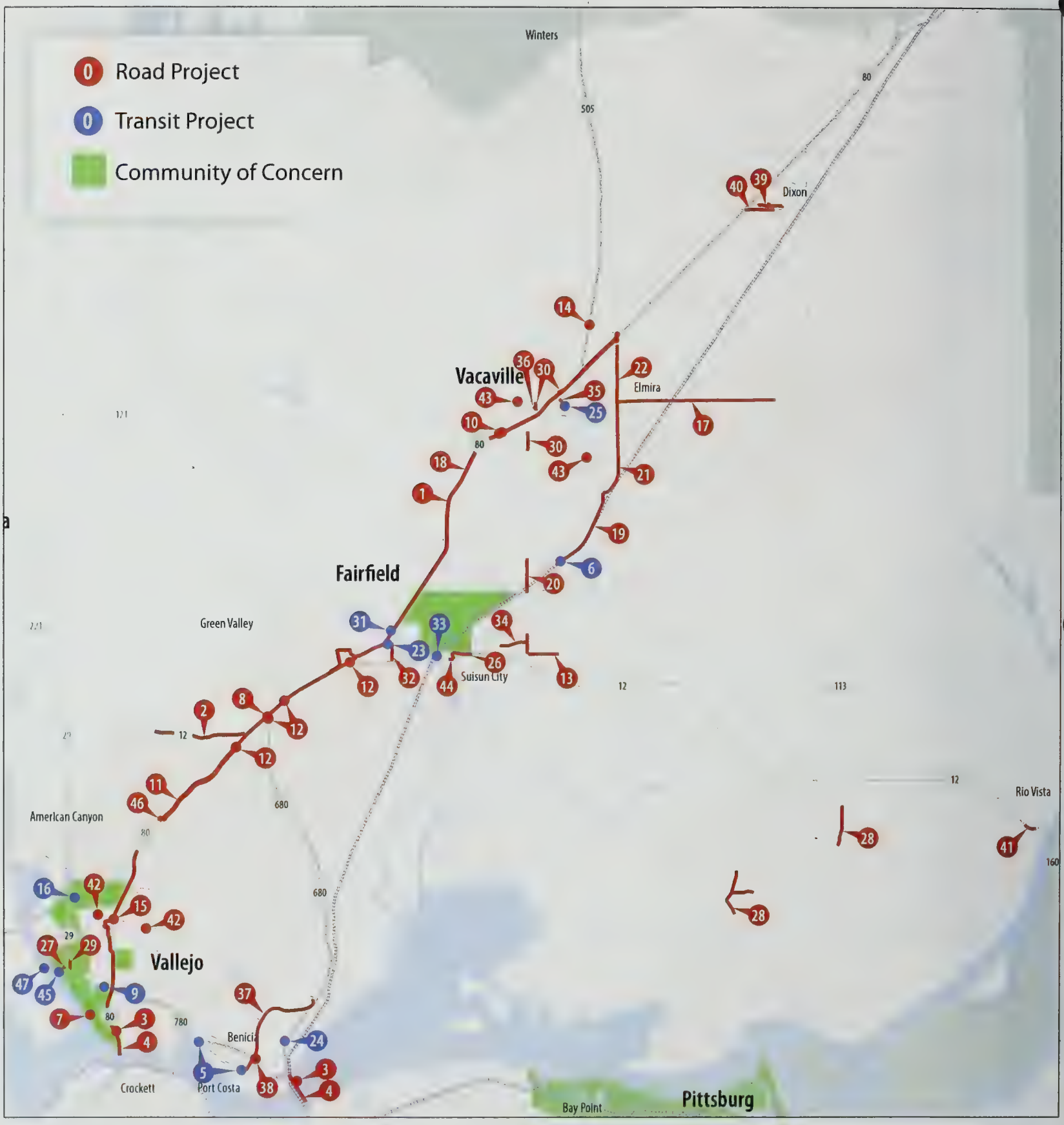
Santa Clara County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



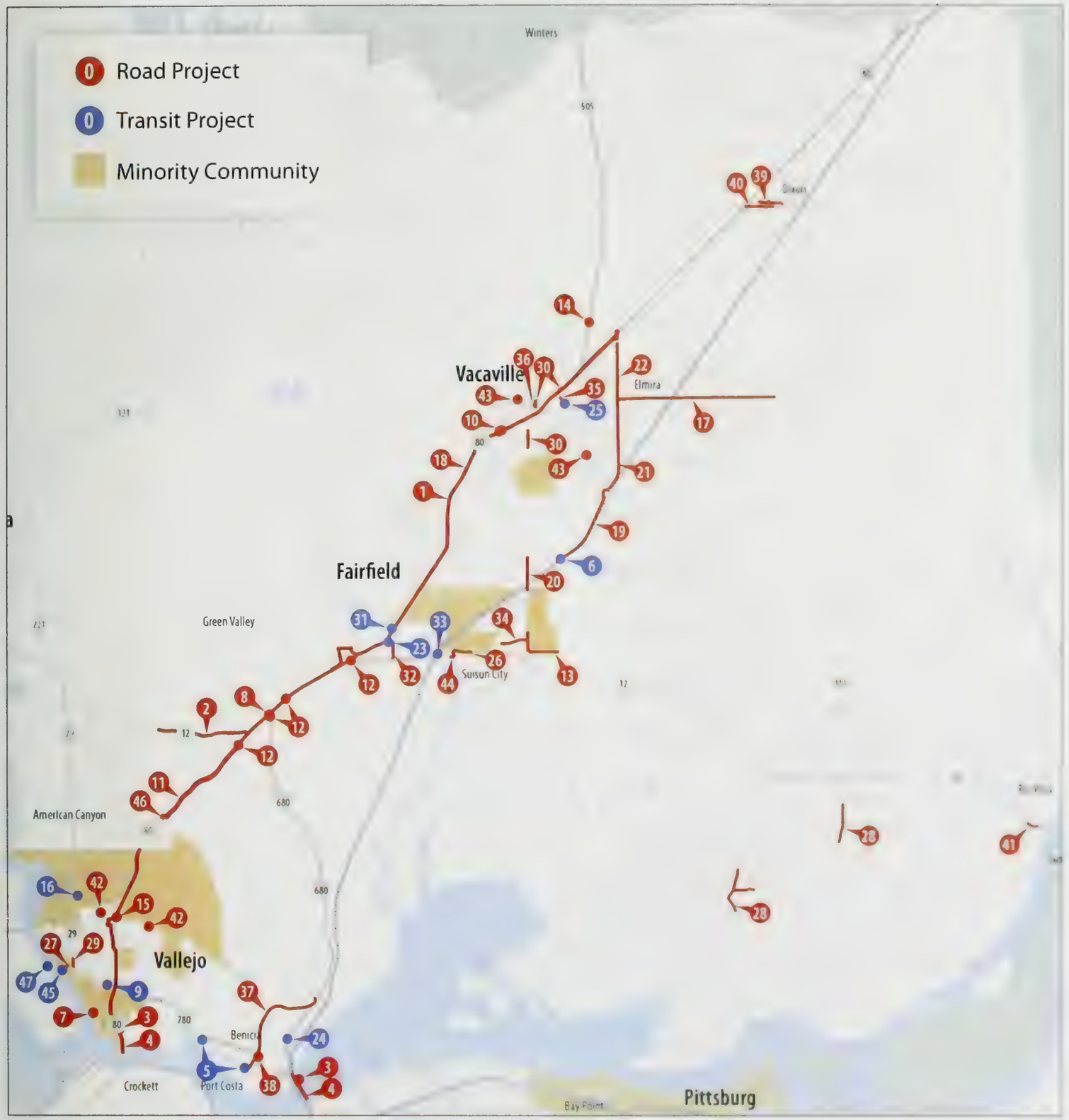
Solano County TIP Projects

1 Interstate 80 Corridor Real Time Rideshare
2 SR-12 (Jamieson Canyon Road) Widening
3 Toll Bridge Maintenance
4 Toll Bridge Rehabilitation Program
5 Military/Southampton & Military/First Intermodal
6 Fairfield/Vacaville Intermodal Rail Station
7 San Pablo Bay Entrance Rehabilitation
8 I-80/I-680 Aux Lanes Improvement Landscaping
9 Vallejo Curtola Transit Center
10 I-80 Alamo Creek On-Ramp and Bridge Widening
11 Cordelia Hills Sky Valley
12 I-80/I-680/SR-12 Interchange Project
13 Travis AFB: South Gate Improvement Project
14 I-505/Vaca Valley Off-Ramp and Intersection Improvements
15 Redwood-Fairgrounds Dr Interchange Imps (Study)
16 SolTrans: Bus Maintenance Facility Renovation
17 Vacaville-Dixon Bicycle Route (Phase 5)
18 I-80 Express Lanes - Fairfield & Vacaville Ph I&II
19 Jepson: Vanden Road from Peabody to Leisure Town
20 Jepson: Walters Rd Extension - Peabody Rd Widening
21 Jepson: Leisure Town Road from Vanden to Commerce
22 Jepson: Leisure Town Road (Commerce to Orange)
23 Fairfield Transportation Center - Phase 3
24 Benicia Industrial Park Bus Hub Project
25 Vacaville Intermodal Station - Phase 2
26 Grizzly Island Trail - Phase 1
27 Vallejo Downtown Streetscape
28 Roadway Preservation in Solano County
29 Sonoma Boulevard Improvements HSIP5-04-031
30 Vacaville Various Street and Roads Preservation
31 Oliver Road Park and Ride
32 Beck Avenue Preservation
33 Suisun-Fairfield Intercity Rail Station Access Imp
34 Walters Road-Pintail Drive Preservation
35 Allison Bicycle / Ped Improvements
36 Ulatis Creek Bike/Ped Path & Streetscape McCellan-Depot
37 Benicia - East 2nd Street Preservation
38 Benicia Safe Routes to Schools Infrastructure Imps
39 Dixon SR-2S Infrastructure Improvements
40 West A Street Preservation
41 SR-12 Crossing with Updated Lighting
42 Vallejo SRTS Infrastructure Improvements
43 Vacaville SRTS Infrastructure Improvements
44 Driftwood Drive Path
45 Vallejo Ferry Terminal (Intermodal Station)
46 I-80 / American Canyon Rd Overpass Improvements
47 North Bay Operations and Maintenance Facility

Solano County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



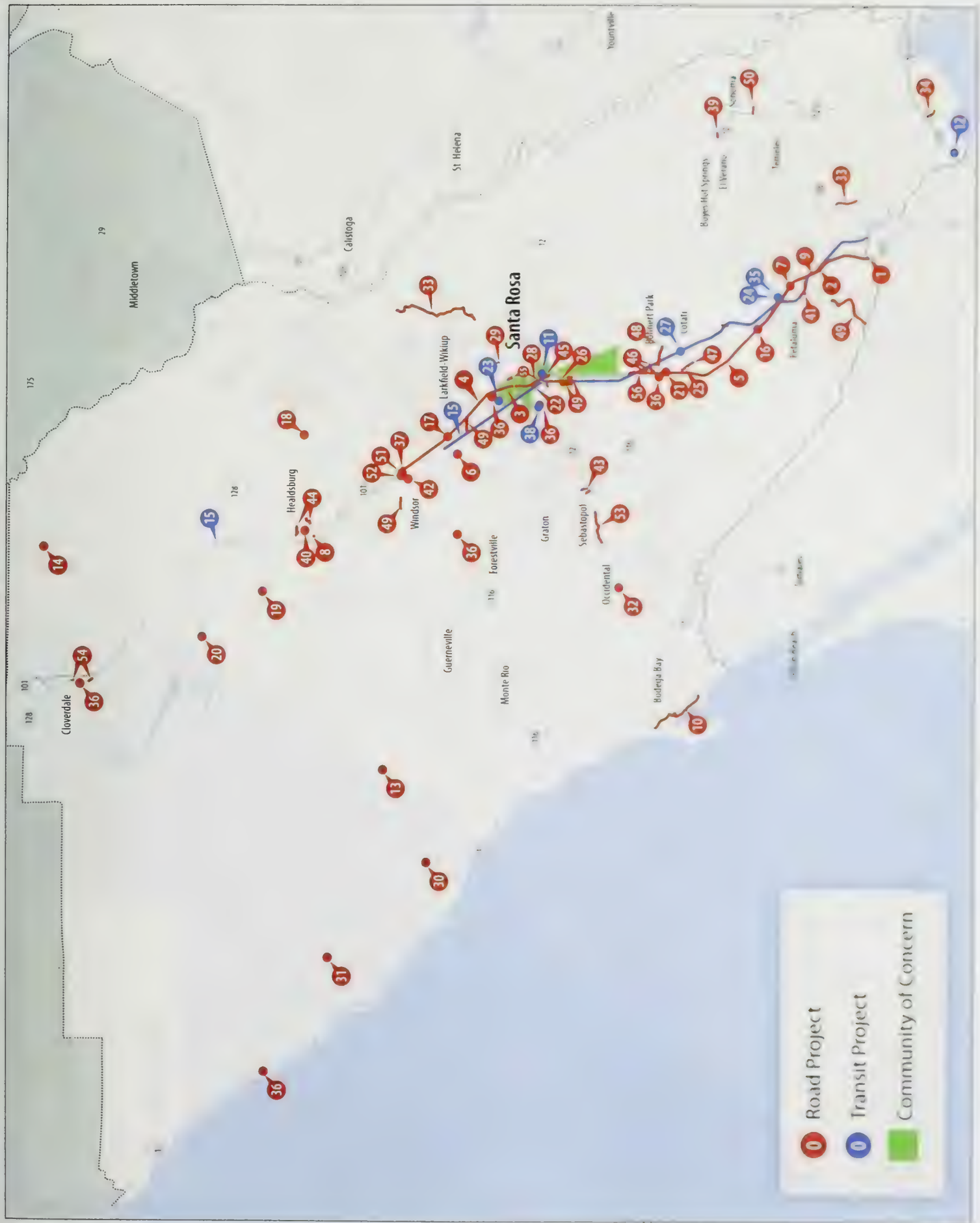
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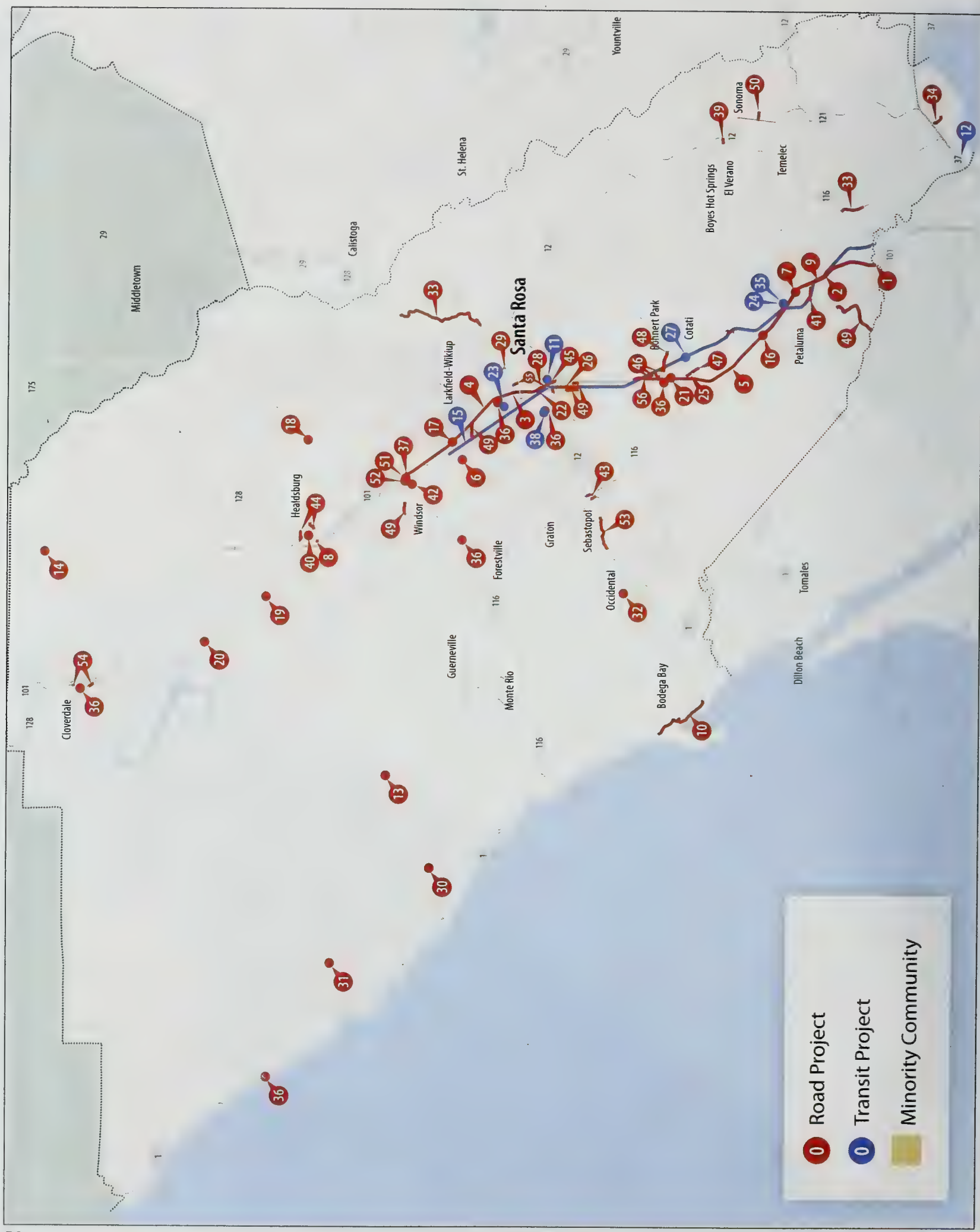
Sonoma County TIP Projects

1 US 101 HOV Lanes - Marin-Sonoma Narrows (Marin)
2 Marin Bike/Ped Facility North of Atherton Ave.
3 Son 101 HOV - SR-12 to Steele & Steele Lane I/C
4 Son 101 HOV - Steele Lane to Windsor (North)
5 Son 101 HOV - Redwood Hwy to Rohnert Park Expwy
6 Replace Laughlin Bridge over Mark West Creek 20C0246
7 US 101/East Washington I/C Reconfiguration
8 Healdsburg Foss Creek Bicycle/Ped Pathway
9 US 101 Marin/Sonoma Narrows (Sonoma)
10 Bodega Bay Trail Segments 1B and 1C
11 Downtown Transit Mall Connectivity Improvements
12 Ferry Service to Port Sonoma
13 Rehab King Ridge Bridge over Austin Creek 20C0433
14 Replace Geysers Bridge over Sulpher Creek 20C0005
15 Sonoma Marin Area Rail Corridor
16 Improve U.S. 101/Old Redwood Highway Interchange
17 US 101 Airport I/C (North B)
18 Replace Chalk Hill Bridge over Maacama Creek 20C0242
19 Replace Lambert Bridge over Dry Creek 20C0248
20 Replace West Dry Creek Bridge over Pena Creek 20C0407
21 Copeland Creek Bike Path Reconstruction
22 HWY 101 HOV Lane 12/Steele - Follow-up College Ave
23 Sonoma County Transit: Bus Yard Rehab.
24 Petaluma Transit Maintenance Facility Rehab: Ph 1
25 Downtown Specific Plan Area Revitalization
26 SMART Trail-Hearn Avenue to Joe Rodota Trail
27 City of Cotati Train Depot
28 SMART Bicycle and Pedestrian Path
29 Chanate Rd Pedestrian and Transit Improvements
30 Replace Bohan Dillon Bridge over Gualala 20C0435
31 Replace Hauser Bridge over Gualala River 20C0240
32 Replace Freestone Flat Bridge over Salmon 20C0440
33 2011/12 Asphalt Overlay Program
34 San Pablo Bay NWR Access Road in Petaluma
35 Petaluma Transit Maintenance Facility Rehab: Ph 2
36 Stewarts Point Rancheria EV Pilot Program
37 ORH at Lakewood Dr. Bike and Ped Facilities
38 Santa Rosa City Bus: Fast-fill CNG Fueling Station
39 Central Sonoma Valley Trail
40 Healdsburg Pedestrian Safety and Access Improvements
41 Petaluma Complete Streets
42 Jaguar Way/Windsor Road Bicycle /Ped Improvements
43 Sebastopol Various Streets and Roads Preservation
44 Healdsburg Various Streets & Roads Rehabilitation
45 Downtown Santa Rosa Streetscape
46 Rohnert Park Streetscape and Pedestrian Imps
47 Cotati - Old Redwood Highway S. Preservation
48 Rohnert Park Various Streets Preservation
49 Sonoma County Various Streets & Roads Preservation
50 Sonoma Various Streets and Roads Preservation
51 Conde Ln/Johnson St Pedestrian Improvements
52 Bell Rd/Market St/Windsor River Rd Ped Improvement
53 Bodega Highway Pavement Rehabilitation
54 Cloverdale - Safe Routes to School Phase 2
55 Santa Rosa Complete Streets Road Diet on Transit Corridor
56 Son 101 HOV - Rohnert Park Expwy to Santa Rosa Ave

Sonoma County: Overlay of Draft 2015 TIP Mapped Projects over Communities of Concern



Sonoma County: Overlay of Draft 2015 TIP Mapped Projects over Census Tracts with Above Average Minority Population



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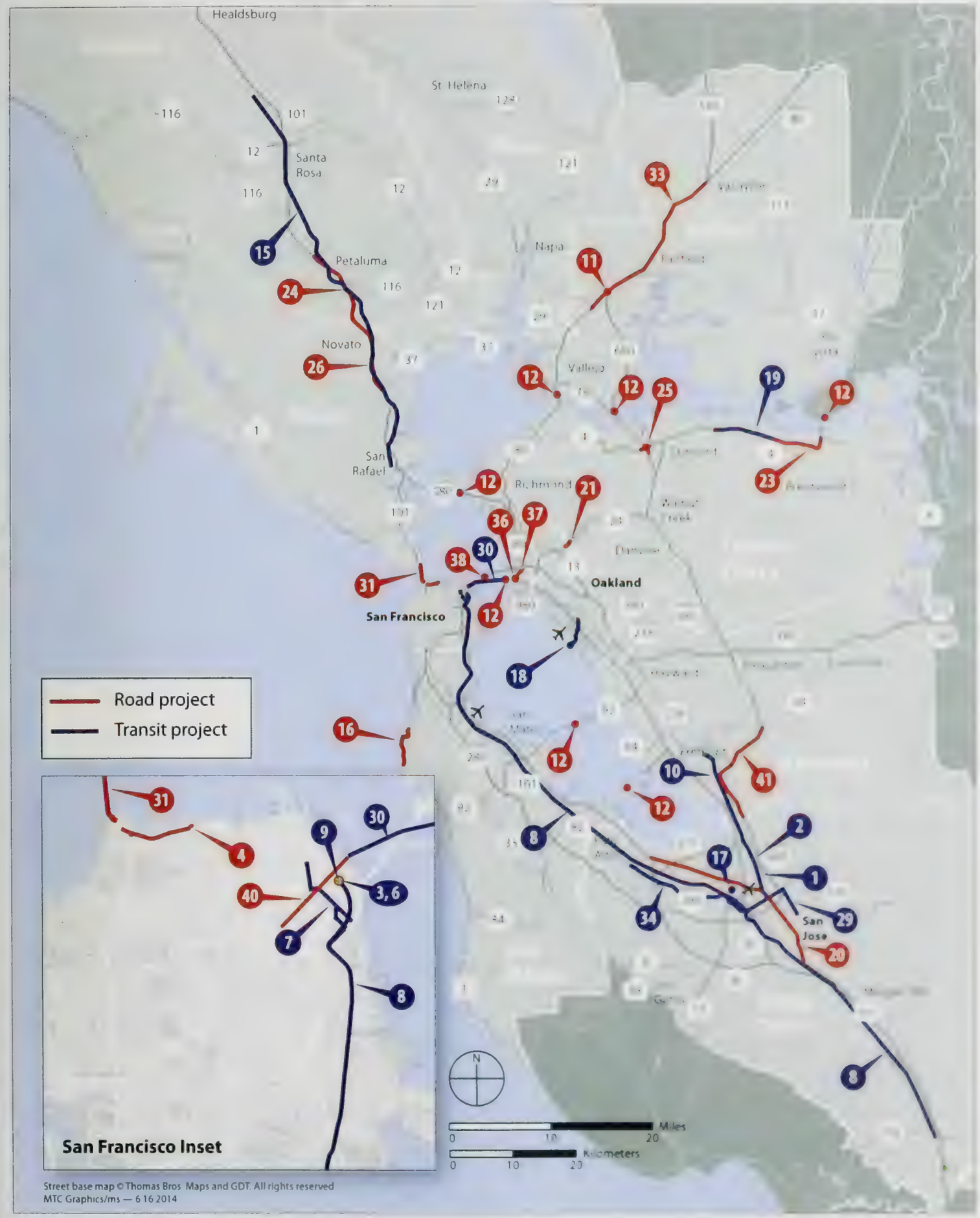
Projects in the 2015 TIP with Costs Greater than $200 Million

RED Road Project
BLUE Transit Project

1. BART - Berryessa to San Jose Extension
   Santa Clara County
   $3.96 billion
2. BART - Warm Springs to Berryessa Extension
   Santa Clara County
   $2.52 billion
3. Transbay Terminal/Caltrain Downtown Extension, Phase 2
   San Francisco County
   $2.29 billion
4. US-101 Doyle Drive Replacement
   San Francisco County
   $1.99 billion
5. BART Railcar Procurement Program**
   Multiple Counties
   $1.98 billion
6. Transbay Terminal/Caltrain Downtown Extension, Phase 1
   San Francisco County
   $1.90 billion
7. SF Muni Third St LRT Phase 2 - Central Subway
   San Francisco County
   $1.58 billion
8. Caltrain Electrification
   Multiple Counties
   $1.23 billion
9. Transbay Transit Center - TIFIA Loan Debt Service
   San Francisco County
   $1.08 billion
10. BART - Warm Springs Extension
    Alameda County
    $890 million
11. I-80/I-680/SR 12 Interchange Project
    Solano County
    $718 million
12. Toll Bridge Rehabilitation Program
    Multiple Counties
    $629 million
13. BART Car Exchange (Preventive Maintenance)**
    Multiple Counties
    $607 million
14. Valley Transportation Authority: Preventive Maintenance**
    Santa Clara County
    $572 million
15. Sonoma Marin Area Rail Corridor
    Sonoma/Marin Counties
    $539 million
16. SR-1 Devils Slide Bypass
    San Mateo County
    $512 million
17. San Jose International Airport People Mover
    Santa Clara County
    $508 million
18. BART Oakland Airport Connector
    Alameda County
    $484 million
19. E-BART - East Contra Costa County Rail Extension
    Contra Costa County
    $460 million
20. US 101 Express Lanes in Santa Clara County
    Santa Clara County
    $425 million
21. SR-24 - Caldecott Tunnel Fourth Bore
    Alameda/Contra Costa County
    $420 million
22. AC Transit: Preventive Maintenance Program**
    Alameda/Contra Costa County
    $392 million
23. SR-4 East Widening from Somersville to SR-160
    Contra Costa County
    $385 million
24. US-101 Marin-Sonoma Narrows (Sonoma)
    Sonoma County
    $373 million
25. I-680/SR-4 Interechange Reconstruction - Phases 1, 2, 4 & 5
    Contra Costa County
    $369 million
26. US-101 Marin-Sonoma Narrows (Marin)
    Marin County
    $341 million
27. Freeway Performance Initiative (FPI)**
    Multiple Counties
    $341 million
28. Hunters Point Shipyard and Candlestick Point Local Roads**
    San Francisco County
    $338 million
29. Capitol Expressway LRT Extension, Phase 2
    Santa Clara County
    $294 million
30. BART Transbay Tube Seismic Retrofit
    Multiple Counties
    $276 million
31. Golden Gate Bridge Seismic Retrofit, Phases 1-3A
    Marin/San Francisco Counties
    $273 million
32. Southeast Waterfront Transportation Improvements**
    San Francisco County
    $254 million
33. I-80 Express Lanes in Fairfield & Vacaville, Phases 1 & 2
    Solano County
    $237 million
34. El Camino Real Bus Rapid Transit
    Santa Clara County
    $234 million
35. Caltrain Positive Train Control System**
    Multiple Counties
    $231 million
36. 7th Street Grade Separation and Roadway Improvements
    Alameda County
    $221 million
37. Oakland Army Base Infrastructure Improvements
    Alameda County
    $215 million
38. Yerba Buena Island (YBI) Ramp Improvements
    San Francisco County
    $212 million
39. SFMTA ADA Paratransit Operating Support**
    San Francisco County
    $207 million
40. SF- Better Market Street Transportation Elements
    San Francisco County
    $206 million
41. I-680 NB HOV/HOT Lane
    Alameda/Santa Clara Counties
    $205 million

** Project not mapped

Projects in the 2015 TIP with Costs Greater than $200 Million



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APPENDIX A – 3

Regional Policies: Long-Range Planning / Plan Bay Area

MTC Public Participation Plan for the San Francisco Bay Area

MTC Resolution No. 3821

Date: September 26, 2007
W.I.: 1112
Referred by: Legislation
Revised: 12/15/10-C

ABSTRACT

Resolution No. 3821, Revised

This resolution adopts the MTC Public Participation Plan.

This resolution supersedes MTC Resolution No. 2648.

An amendment to this resolution was referred by the Planning Committee on December 10, 2010 to the Commission for approval on December 15, 2010 to update the MTC Public Participation Plan.

Date: September 26, 2007
W.I.: 1112
Referred by: Legislation

Re: MTC Public Participation Plan

METROPOLITAN TRANSPORTATION COMMISSION

RESOLUTION 3821

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.* and is the federally designated metropolitan planning organization for the San Francisco Bay Area; and

WHEREAS, MTC is committed to involving interested Bay Area residents, as well as public agencies and officials, Tribal governments, freight providers and other interested parties in the development of transportation plans and programs in a manner consistent with the Safe, Accountable Transportation Equity Act: A Legacy for Users (SAFETEA, PL 109-59) and pursuant to requirements of the Federal Highway Administration and the Federal Transit Administration that metropolitan planning organizations adopt and periodically update public participation plans [23 CFR Part 450 and 49 CFR Part 613]; and

WHEREAS, MTC in March 2006, MTC, as part of adopting principles on Environmental Justice, committed to "Create an open and transparent public participation process that empowers low-income communities and communities of color to participate in decision making that affects them"; and

WHEREAS, MTC, recognizing the value to be gained from listening to and learning from many voices from throughout the diverse nine-county Bay Area, developed the attached Public Participation Plan after numerous conversations, meetings, surveys, focus groups and a public hearing with a wide array of interests; now, therefore, be it

RESOLVED, that MTC adopts the Public Involvement Procedures attached hereto and incorporated herein as Attachment A; and, be it further

RESOLVED, that Attachment A shall be revised periodically by MTC as part of its ongoing commitment to inform and include the people of the Bay Area in its decision-making process; and be it further

RESOLVED, that this resolution supersedes MTC resolutions 2648 (Federal Public Involvement Procedures, 2003) and 3351 (Public Involvement Action Plan, 2001), and be it further

RESOLVED that the Executive Director is authorized to implement and administer the Commission's Public Participation Plan, and shall submit a copy of this resolution to the Federal Highway Administration and the Federal Transit Administration, and to other agencies as appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Bill Dodd

Bill Dodd, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California on September 26, 2007.

Date: September 26, 2007
W.I.: 1112
Referred by: Legislation
Revised: Planning
12/15/10-C

Attachment A
Resolution No. 3821

The Public Participation Plan is on file in the offices of the Metropolitan Transportation Commission, MetroCenter, 101 Eighth Street, Oakland, CA 94607.

The full report of the

MTC Public Participation Plan for the San Francisco Bay Area,
adopted by the Commission on September 26, 2007
and revised on December 15, 2010

can be viewed on MTC's website at

http://www.mtc.ca.gov/get_involved/participation_plan.htm

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APPENDIX A – 4

Regional Policies: Long-Range Planning / Plan Bay Area

Equity Analysis Report

The full copy of the

Equity Analysis Report

can be viewed on MTC's website at

http://onebayarea.org/pdf/final_supplemental_reports/FINAL_PBA_Equity_Analysis_Report.pdf

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APPENDIX A – 5

Regional Policies: Long-Range Planning / Plan Bay Area

Performance Assessment Report

The full copy of the

Performance Assessment Report

can be viewed on MTC's website at

http://onebayarea.org/pdf/final_supplemental_reports/FINAL_PBA_Performance_Assessment_Report.pdf

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APPENDIX A – 6

Regional Policies: Long-Range Planning / Plan Bay Area

Coordinated Public Transit-Human Services Transportation Plan

MTC Resolution No. 4085

Date: March 27, 2013
W.I.: 1311
Referred by: PAC

ABSTRACT

Resolution No. 4085

This resolution adopts the Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area.

The following attachment is provided with this resolution:

Attachment A — Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area

Discussion of the Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area is included in the Programming and Allocations Summary sheet dated March 6, 2013.

Date: March 27, 2013
W.I.: 1311
Referred by: PAC

RE: Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4085

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code 66500 *et seq.*; and

WHEREAS, the Safe, Accountable, Flexible, Efficient Transportation Equity Act (SAFETEA) requires that projects funded through the Job Access Reverse Commute (JARC), New Freedom, and Elderly Individuals and Individuals with Disabilities programs be derived from a from a locally developed, coordinated public transit-human services transportation plan (Coordinated Plan) beginning in Fiscal Year 2007; and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (MAP-21) requires that projects funded through the Enhanced Mobility of Seniors and Individuals with Disabilities program be derived from a from a locally developed Coordinated Plan beginning in Fiscal Year 2013; and

WHEREAS, MTC has dedicated significant resources toward planning efforts that have focused on the transportation needs of low-income, senior and disabled residents in the Bay Area, including the community-based transportation planning program;

WHEREAS, MTC completed the region's Coordinated Public Transit—Human Services Transportation Plan in 2007; and

WHEREAS, the California Legislature enacted the Social Service Transportation Improvement Act (Chapter 1120, Statutes of 1979) (hereafter referred to as AB 120) with the intent to improve transportation service required by social service recipients; and

WHEREAS, the Metropolitan Transportation Commission adopted the MTC Regional Action Plan for the coordination of Social Service Transportation (MTC Resolution 1076, Revised); and

WHEREAS, the Coordinated Public Transit—Human Services Transportation Plan Update revises the prior Coordinated Plan to include new demographic and regional context information, transportation service gaps and solutions, and the steps for designating Consolidated Transportation Service Agencies; now, therefore, be it

RESOLVED, that MTC approves the Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area as forth in Attachment A of this resolution, and be it further

RESOLVED, that the Executive Director of MTC is hereby authorized to forward the Coordinated Plan Update to the Federal Transit Administration and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth, Chair

The above Resolution was entered into by the
Metropolitan Transportation Commission
at a regular meeting of the Commission held in
Oakland, California, on March 27, 2013.

Date: March 27, 2013
W.I.: 1311
Referred by: PAC

Attachment A
MTC Resolution No. 4085

Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area

The Coordinated Public Transit—Human Services Transportation Plan Update for the San Francisco Bay Area is incorporated by reference.

The plan and appendices are available in the MTC/ABAG Library, and on-line at
http://www.mtc.ca.gov/planning/pths/2013/MTCCoordinatedPlanUpdate.pdf

APPENDIX A – 7

Regional Policies: Long-Range Planning / Plan Bay Area

Regional Transit Expansion Program (RTEP)

MTC Resolution No. 3434

Date: December 19, 2001
W.I.: 12110
Referred by: POC
Revised: 01/30/02-C 07/27/05-C
04/26/06-C 10/24/07-C
09/24/08-C

ABSTRACT

Resolution No. 3434, Revised

This resolution sets forth MTC's Regional Transit Expansion Program of Projects.

This resolution was amended on January 30, 2002 to include the San Francisco Geary Corridor Major Investment Study to Attachment B, as requested by the Planning and Operations Committee on December 14, 2001.

This resolution was amended on July 27, 2005 to include a Transit-Oriented Development (TOD) Policy to condition transit expansion projects funded under Resolution 3434 on supportive land use policies, as detailed in Attachment D-2.

This resolution was amended on April 26, 2006 to reflect changes in project cost, funding, and scope since the 2001 adoption.

This resolution was amended on October 24, 2007 to reflect changes in the Transit-Oriented Development (TOD) Policy in Attachment D-2.

This resolution was amended on September 24, 2008 to reflect changes associated with the 2008 Strategic Plan effort (Attachments B, C and D).

Further discussion of these actions are contained in the MTC Executive Director's Memorandum dated December 14, 2001, July 8, 2005, April 14, 2006, October 12, 2007 and September 10, 2008.

Date: December 19, 2001
W.I.: 12110
Referred by: POC

RE: Regional Transit Expansion Program of Projects

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3434, Revised

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC adopted Resolution No. 1876 in 1988 which set forth a new rail transit starts and extension program for the region; and

WHEREAS, significant progress has been made in implementing Resolution No. 1876, with new light rail service in operation in San Francisco and Silicon Valley, new BART service extended to Bay Point and Dublin/Pleasanton in the East Bay, and the BART extension to San Francisco International Airport scheduled to open in 2002; and

WHEREAS, MTC's long range planning process, including the Regional Transportation Plan and its *Transportation Blueprint for the 21st Century*, provides a framework for comprehensively evaluating the next generation of major regional transit expansion projects to meet the challenge of congestion in major corridors throughout the nine-county Bay Area; and

WHEREAS, the Commission adopted Resolution No. 3357 as the basis for assisting in the evaluations of rail and express/rapid bus projects to serve as the companion follow-up program to Resolution No. 1876; and

WHEREAS, local, regional, state and federal discretionary funds will continue to be required to finance an integrated program of new rail transit starts and extensions including those funds which are reasonably expected to be available under current conditions, and new funds which need to be secured in the future through advocacy with state and federal legislatures and the electorate; and

WHEREAS, the Regional Transit Expansion program of projects will enhance the Bay Area's transit network with an additional 140 miles of rail, 600 miles of new express bus routes, and a 58% increase in service levels in several existing corridors, primarily funded with regional and local sources of funds; and

WHEREAS, MTC recognizes that coordinated regional priorities for transit investment will best position the Bay Area to compete for limited discretionary funding sources now and in the future; now, therefore, be it

RESOLVED, that MTC adopts a Regional Transit Expansion Program of Projects, consistent with the Policy and Criteria established in Resolution No. 3357, as outlined in Attachment A, attached hereto and incorporated herein as though set forth at length; and be it further

RESOLVED, that this program of projects, as set forth in Attachment B is accompanied by a comprehensive funding strategy of local, regional, state and federal funding sources as outlined in Attachment C, attached hereto and incorporated herein as though set forth at length; and, be it further

RESOLVED, that the regional discretionary funding commitments included in this financial strategy are subject to the terms and conditions outlined in Attachment D, attached hereto and incorporated herein as though set forth at length.

METROPOLITAN TRANSPORTATION COMMISSION

Sharon J. Brown, Chair

The above resolution was entered into by the
Metropolitan Transportation Commission
at a regular meeting of the Commission held
in Oakland, California, on December 19, 2001.

ATTACHMENT A - Regional Transit Expansion Policy Criteria Evaluation Matrix

			Resolution 1876-Tier 1	TEA-21 Funds	TCRP	Dedicated Local Funding	Operations/ Maintenance	Supportive Land Use		Cost-Effectiveness	System Connectivity			System Access	Project Readiness
Project	Sponsor	Project Cost 2001 $ Millions	prior 1876 Tier 1 commitment	TEA-21 authorization or other federal appropriations	TCRP or other state level commitments	Local funds as a percent of total capital cost	Demonstrated operating plan	Residential densities around stations	Employment densities around stations	Cost per new transit rider	# connecting operators	Frequency	Regional gap closures	# of modal access options	# of pre-construction activities completed or in progress
BART to Warm Springs	BART	$ 634	Yes	Yes	Yes	H	Yes	M	M	M	M	H	No	H	M
BART: Warm Springs to San Jose	VTA	$ 3,710	No	Yes	Yes	H	Yes	H	M	M	H	H	Yes	H	L
MUNI 3rd St. LRT Phase 2 - New Central Subway	SFCTA/Muni	$ 647	No	Yes	Yes	M	Yes	H	H	L	H	H	No	H	H
BART/Oakland Airport Connector	BART	$ 232	No	Yes	No	M	Yes	M	M	H	M	H	Yes	H	M
Caltrain Downtown Extension/Rebuilt Transbay Terminal	SFCTA	$ 1,885	Yes	Yes	No	H	Yes	H	H	L	H	H	Yes	H	M
Caltrain Rapid Rail/Electrification	JPB	$ 602	No	No	No	H	Yes	M	H	L	H	M	No	H	M
Caltrain Express: phase 1	JPB	$ 127	No	No	Yes	L	Yes	M	H	H	H	M	No	H	H
Downtown East Valley. Light Rail and Bus Rapid Transit Phase 1 and 2	VTA	$ 518	No	No	No	H	Yes	H	M	L	H	H	No	H	M
Capitol Corridor: Phase 1 Expansion	CCJPA	$ 129	No	No	Yes	L	Yes	H	M	H	H	L	No	H	M
AC Transit Oakland/San Leandro Bus Rapid Transit Phase 1 (Enhanced Bus)	AC Transit	$ 151	No	No	No	L	Yes	H	H	H	L	H	No	H	L
Regional Express Bus Phase 1	MTC/Operators	$ 40	No	No	Yes	L	Yes	-	-	H	M	-	Yes	H	H
Dumbarton Rail	JPB	$ 129	No	No	No	H	No	M	M	L	H	L	Yes	H	L
BART/East Contra Costa Rail Extension	CCTA	$ 345	No	No	Yes	L	No	-	-	-	-	-	-	-	L
BART/Tri Valley Rail Extension	ACCMA	$ 345	No	No	Yes	L	No	-	-	-	-	-	-	-	L
Altamont Commuter Express (ACE) service expansion	ACE	$ 121	No	No	No	L	-	M	M	H	M	L	No	M	-
Caltrain Express Phase 2	JPB	$ 330	No	No	No	H	-	M	H	-	H	-	No	H	-
Capitol Corridor Phase 2 Enhancements	CCJPA	$ 264	No	No	Yes	L	Yes	H	M	-	H	L	No	H	M
Livermore Main Rail	LAVTA	$ 200	No	No	Yes	L	No	L	M	-	H	L	No	H	L
I-80 Transit Enhancement Bus: Implementation Only/Multi-Phase	AC Transit	$ 93	No	No	No	L	-	H	M	H	L	H	No	H	-

Note: "-" indicates that complete information is not available.

Resolution No. 3357 Criteria: Definitions and Measurement

Financial Criteria:

Honor 1876 commitments: Priority assigned to those projects of the original seven "Tier 1" Resolution No. 1876 projects that do not yet have a defined and secured financial agreement.
Rating: "Yes" or "No"

TEA-21/federal reauthorization: Current federal financial support exists for the project, through TEA-21 authorizing language for New Starts funding, or other federal appropriation commitments.
Rating: "Yes" or "No"

TCRP/State commitments: Current state financial commitment is secured by the project, through Traffic Congestion Relief Program funds, or other existing state funding commitments.
Rating: "Yes" or "No"

Dedicated local commitments: Local financial commitment for the project, based on percentage of local funds to total capital costs.
Rating: "High": Greater than 50%; "Medium": 30% to 50%; "Low": under 30%

Operations/Maintenance: Project can be maintained and operated once built, based on financial plans and policies submitted by the project sponsor, outlining sources and commitments of funds for the period of operations through the end of the RTP (2025) or for at least 10 years, whichever is longer. Any financial burden imposed by the transit expansion project may not undermine core bus service within the same system, especially that needed by transit dependent persons.
Rating: "Yes" or "No"

Performance Criteria:

Land Use: Evaluate potential system benefits accrued as a result of adjacent land uses along rail/bus corridors, based on year 2025 projected net residential and employment land use densities around planned stations or transit corridors.
Rating: "High": urban or urban core/CBD; "Medium": suburban; "Low": rural or rural suburban, as measured below:

Net Population Density	Total Population/ Residential Area square miles	Net Employment Density	Total Employment/ Commercial Area square miles
Rural	< 5,000	Rural	< 5,000
Rural-Suburban	5,000-10,000	Suburban	5,000-20,000
Suburban	10,000-20,000	Urban	20,000-50,000
Urban	20,000-50,000	Urban Core	50,000-100,000
Urban Core	>50,000	Urban CBD	>100,000

Cost-effectiveness: "Cost per new rider", measured as dollars per new rider (shifting from auto to transit; not transit to transit).
Rating: "High": $0 - $15/new rider; "Medium": $16 - $30/new rider; "Low": over $30/new rider

Note: Resolution No. 3357 also provides for another measure of cost effectiveness: "transit user benefits" that will be incorporated into this analysis at a later date once the methodology is available from the Federal Transit Administration.

System Connectivity: Assess the interconnected relationship of the transit expansion and the existing transit network, through measures of connections, service frequency and gap closures.
Rating:
A. Number of Connecting Operators: "High": 5 or more; "Medium": 3 to 4; "Low": 1 to 2

B. Frequency: Peak Period Headways: "High": 10 minutes or less; "Medium": 20 minutes to 11 minutes; "Low": Greater than 20 minutes

C. Gap Closures: " Yes" or "No" for completion of a major closure in the regional network

System Access: Determine the ability of users to easily access (via walking, biking, auto or transit transfers) the new extensions, based on number of modal access options
Rating: "High": 4 or more; "Medium": 3; "Low": 1 to 2

Project Readiness: Priority assigned to projects that are able to proceed expeditiously to implementation, based on pre-construction activities completed or in progress as of December 2001.
Rating: "High": corridor evaluation+environmental analysis+preliminary design and engineering; "Medium": corridor evaluation+environmental analysis; "Low": Sketch planning or corridor evaluation only.

Date: December 19, 2001
W.I.: 12110
Referred by: POC
Revised: 01/30/02-C
04/26/06-C
09/24/08-C

Attachment B
Resolution No. 3434
Page 1 of 1

Regional Transit Expansion Policy: Recommended Program of Projects

PROJECT	COST (millions of YOE $)
AC Transit Berkeley/Oakland/San Leandro Bus Rapid Transit	250
AC Transit Enhanced Bus: Hesperian/Foothill/MacArthur corridors	41
BART/Oakland Airport Connector	459
Tri-Valley Transit Access Improvements to BART	168
East Contra Costa BART Extension (eBART)	525
BART to Warm Springs	890
BART: Warm Springs to San Jose/Santa Clara	6,133
Caltrain Express: Baby Bullet ** OPEN FOR SERVICE**	128
Caltrain Electrification	785
Caltrain Express: Phase 2	427
Transbay Transit Center: Phase 1	1,189
Transbay Transit Center: Phase 2	2,996
Capitol Corridor Expansion	108
Capitol Corridor: Phase 2 Enhancements	89
Regional Express Bus **OPEN FOR SERVICE**	102
MUNI Third Street Light Rail Transit Project - Central Subway	1,290
SFCTA and SFMTA: Van Ness Avenue Bus Rapid Transit	88
Altamont Commuter Express (ACE): service expansion	150
Sonoma-Marin Rail	646
Dumbarton Rail	596
Downtown to East Valley: Light Rail and Bus Rapid Transit Phase 1 and 2	465
Expanded Ferry Service to Berkeley, Alameda/Oakland/Harbor Bay, Hercules, Richmond, and South San Francisco; and other improvements.	180

Attachment C: Regional Transit Expansion Policy - Funding Strategy

Project Capital Cost/Funding in Millions and Year of Expenditure $ Alphabetical by Tier			*Committed Funding*						*Regional Discretionary Funding*												
Project	**Sponsor**	**Project Cost (YOE $)**	TCRP	Sales Tax	Resolution 1876	RTIP	Federal Earmarks	Other [see notes]	Section 5309 New Starts	Section 5309 Small Starts	Section 5309 Fixed Guideway Modernization	Ferryboat Discretionary	RM1	RM 2	AB 1171	Prop 1B - Transit	Prop 1B - SLPP	ITIP	ITIP Intercity Rail	CARB/ AB 434	**Capital Shortfall**
Caltrain Express Baby Bullet ** OPEN FOR SERVICE**	Caltrain JPB	128	127					1													-
Regional Express Bus **OPEN FOR SERVICE**	MTC	102	40											62							-
Tier 1 - No Current Scope, Schedule, Budget Issues as Reported By Sponsors																					
AC Transit Berkeley/Oakland/San Leandro Bus Rapid Transit	AC Transit	250		24		50	2	35		75				65							-
BART to Warm Springs	BART	890	100	221	205	69		26					53	85	5	40	86				-
East Contra Costa BART Extension (eBART)	BART/CCTA	525	7	196		14		6					52	96	115	40					-
Capitol Corridor Expansion	CCJPA	108	24			4		15											64		-
Capitol Corridor Phase 2 Enhancements	CCJPA	89	1											3					85		-
MUNI Third Street Light Rail Transit Project - Central Subway	SFMTA	1,290	14	126		92		45	762							250					-
SFCTA and SFMTA Van Ness Avenue Bus Rapid Transit	SFCTA and SFMTA	88		18						70											-
Transbay Transit Center Phase 1	TJPA	1,180		105		28	64	646					53	142	150						-
[illegible]	[illegible]	166	3	16				14		11			16	16	95	2					-
[illegible]	[illegible]	400		316		56										90					-
[illegible]	[illegible]	16		47			19					25		89							-
Tier 2 - Projects Needing More Scope, Cost Refinement																					
[illegible]	[illegible]	410		77		31		231					37	65			12				TBD
[illegible]	[illegible]	796		96		20		7				4							35		41
Tier 3 - Projects Needing Ongoing Operating Funds																					
[illegible]	[illegible]	84	1	24			1	58						4							4
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]						[illegible]											
Tier 4 - Deficiency and Long-range Projects with Uncertain Cost																					
[illegible]	[illegible]	17				1								9							16
[illegible]	[illegible]	417						17				57				11					348
[illegible]	[illegible]	1,240		111		100								139					70		1,070
[illegible]	[illegible]	79		20				1				7									71
[illegible]	[illegible]	[illegible]		70				900						9							[illegible]
Totals		$ 11,750	$ 1,043	$ 2,833	$ 205	$ 511	$ 87	$ 1,948	$ 1,281	$ 116	$ 100	$ 36	$ 220	$ 807	$ 365	$ 442		$ 98	$ 155	$ 24	$ 3,834

Attachment C: Regional Transit Expansion Policy - Funding Strategy (cont.)

Notes: For all projects, see Terms and Conditions.

Detail on 'other' funding is provided below:

1. AC Transit Berkeley/Oakland/San Leandro Bus Rapid Transit. $35 million in CMAQ bonus funds programmed in 2008.
2. BART to Warm Springs: $2.2 M local CMA funds. $24 M in BART agency contribution. Prop 1B Transit funds are 50% MTC and 50% BART. Of the $205 million in Resolution 1876 commitment, $145 million is SFO Extension Revenues. Then SFO Extension revenues are subject to the provisions outlined in Attachment D, subsection 5.
3. East Contra Costa BART Extension: $6 million in developer fees. Prop 1B Transit funds are 50% MTC and 50%
4. Capitol Corridor Expansion: Other includes $10 million in ACE funds, $.5 million in Caltrain funds, $2.1 million in CCJPB funds, $2.3 million in State PTA funds and $0.5 million in Prop 116 funds.
5. Muni Third Street Light Rail Project: New Starts request is $762 million in Year of Expenditure dollars. Prop 1B Transit funds are 40% MTC and 60% SFMTA.
6. Transbay Transit Center Phase 1: Other funds include $411 million in land sales and tax increment revenue, $8.8 million in FTA 1601 funds, and $227 million in TIFIA loan proceeds.
7. Tri-Valley Transit Access Improvements to BART: $6 million in federal CMAQ funds, $6.4 million in federal 5307 funds, and $1.6 million in TDA funds. Prop 1B Transit funds are LAVTA Revenue-based.
8. VTA Downtown to East Valley: Prop 1B Transit funds are 50% MTC and 50% VTA.
9. BART/Oakland Airport Connector: $31.5 million is Port of Oakland funds, $25 million federal Public/Private Pilot Program and $174 million private financing.
10. Caltrain Electrification: $12 million in regional STP/CMAQ funds and $11.3 million in PJPB funds.
11. Sonoma-Marin Rail: Other includes $28 million in Prop. 116 and $37.2 million in North Coast Rail Authority funds
12. BART: Warm Springs to San Jose/Santa Clara: New Starts request is $750 million in Year of Expenditure dollars. Confirmation of RTIP commitment pending reconciliation by VTA between the Santa Clara county-wide plan and MTC's Transportation 2030.
13. AC Transit Enhanced Bus: Grand MacArthur Corridor: $.8 million is Transportation Fund for Clean Air funds through BAAQMD
14. Caltrain Express: $13.2 million is Joint Powers Board member contributions.
15. ACE Service Expansion: Other includes $3 million in San Joaquin federal fund contributions.
16. Transbay Transit Center Phase 2: Other funds include $424 million in land sales and tax increment revenue and $445 million in TIFIA loan proceeds.

Definitions and Assumptions of Regional Discretionary Funding

- Federal Section 5309 New Starts: the total shown is an estimate for the 25-year RTP period. This estimate trends against recent historical averages of the Bay Area's New Starts funding compared to the nation, an average of 7% over the last 10 years. This represents a target for advocacy in Washington, D.C.; actual authorizations and appropriations are at the discretion of Congress.

- Federal Section 5309 Small Starts: estimate for the 25-year RTP period, beginning with the federal reauthorization in 2005. Small Start Capital Grants may not exceed $75 million under law. This represents a target for advocacy in Washington D.C.; actual authorization and appropriations are at the discretion of Congress. This estimate does not include the Very Small Starts program.

- Federal Section 5309 Rail Modernization: These Federal Transit Administration formula funds are eligible for fixed guideway infrastructure projects. In the MTC region these funds are by policy devoted to capital replacement. The funding would replace diesel locomotives with electric locomotives when eligible for the Caltrain Electrification project.

- Federal Ferryboat Discretionary Program: estimate for the 25-year RTP period, beginning with the federal reauthorization in 2005; provides a special category for the construction of ferry boats and ferry terminal facilities. This represents a target for advocacy in Washington D.C.; actual authorization and appropriations are at the discretion of Congress.

- Regional Measure 1 Rail Reserve: the total shown is an estimate for the 25-year RTP period, net of existing commitments to the BART Warm Springs extension. These funds from the base $1 Bay Bridge toll are directly allocated by the Commission to rail projects in the bridge corridor according to a statutory formula splitting the funds 70% to East Bay projects, and 30% to West Bay projects. This funding estimate assumes debt financing against this revenue stream. This estimate was revised as part of the 2008 Strategic Plan effort.

- Regional Measure 2: Regional voter-approved measure providing $812 million to Resolution 3434 projects. The specific amounts are identified in statute for each project. This funding estimate assumes debt financing against this revenue stream.

- AB 1171: This is a discretionary funding source passed by the Legislature and signed by the Governor in October 2001. AB 1171 (Dutra) extends the $1 seismic surcharge (the second half of the current $2 auto toll) on the seven state-owned Bay Area toll bridges for up to 30 years to finance retrofit work. Under certain financing provisions, a portion of that toll revenue will return to MTC acting as the Bay Area Toll Authority (BATA). This funding can be used for projects consistent with the voter approved Regional Measure 1 program—including congestion relief projects in corridors served by some proposed transit expansion projects—and is estimated over the 25-year period of the RTP to total $570 million; $370 million of this amount is being assigned to the Regional Transit Expansion program of projects. This estimate was revised as part of the 2008 Strategic Plan effort.

- Proposition 1B Transit: Proposition 1B, approved by California voters in November 2006, directed $3.6 billion toward transit capital improvements, including about $1.3 billion for projects in the Bay Area. Within this $1.3 billion, roughly $1 billion is distributed directly to the transit operators, and about $347 million is anticipated to come directly to MTC through statutorily defined formulas. On June 27th, 2007 the Commission adopted the MTC Proposition 1B Regional Transit Program - Resolution 3814. Resolution 3814 committed $185 million in Proposition 1B - Population-based funds conditioned upon operators committing $185 million in Propostion 1B - Revenue-based funds. Operator contributions may exceed the matching requirement of Resolution 3814.

- Proposition 1B State Local Partnership: Proposition 1B, approved by California voters in November 2006, directed $1 billion toward the State/Local Partnership Program (SLPP). This program was included in the bond measure to reward local jurisdictions for their financial contributions to California's transportation system. The program may match county sales taxes, transit sales taxes, and voter-approved bridge tolls such as Regional Measures 1 and 2. Should the eligible match element of the program include bridge tolls, MTC commits the initial $40 million to Resolution 3434 projects conditioned on SLPP contributions from partner agencies, as outlined in Attachment D. The remaining amount, estimated to be roughly $26 million, would be held in an unrestricted reserve.

- Interregional Transportation Improvement Program: the total shown is an estimate for the 25-year RTP period; other ITIP funding is assumed for highway and other projects. As ITIP funds are the state's discretionary portion of the State Transportation Improvement Program,

this represents a target for advocacy in Sacramento. Actual programming commitments and allocations are at the discretion of the California Transportation Commission.

- CARB/AB 434: Both the California Air Resources Board (CARB) and the Bay Area Air Quality Management District (AB 434) administer discretionary funding programs focused in whole or in part on reducing emissions from diesel engines. $29 million is assumed from the two programs combined to help fund the Caltrain electrification project. This funding target for advocacy over the RTP period is sized to the annual funding levels of the two programs.

Date: December 19, 2001
W.I.: 12110
Referred by: POC
Revised: 04/26/06-C
09/24/08-C

Terms and Conditions

General Terms

1. Operating Funding – In order for an extension of service to be included in the Regional Transportation Plan (RTP), the project sponsor must provide evidence of its ability to fund operation of the service for a minimum of 10 years, or the duration of operations within the 25-year RTP time horizon, whichever is longer. These financial capacity determinations must also include a demonstration of the transit operator's ability to sustain levels of core bus services to low-income and minority populations, as required under MTC Resolution No. 3357. Should the transit operator's financial stability deteriorate, or the expansion project in question experience significant cost increases, these financial capacity determinations will be revisited in MTC's review of the operator's applicable Short Range Transit Plan.

2. Cost Increases – Commitments of regional discretionary funds (Section 5309 New Starts, Small Starts, and Fixed Guideway Modernization, Regional Measure 1 Rail Reserve, ITIP, AB 1171, CARB/AB 434, Regional Measure 2, Ferry Boat Discretionary) are capped at the amounts shown in Attachment C in year of expenditure dollars. Project sponsors are responsible for funding any cost increases (including financing costs) above the estimates shown in Attachment C from other sources. Funding shortfalls must be addressed for projects to be included in the Regional Transportation Plan.

3. Amendment – The Commission shall consider amending this regional transit expansion program following the passage of major new funding sources that could advance projects with current shortfalls into the RTP. New funding sources also could be used to offset cost increases for projects already included in the RTP.

4. Station Access Planning: Consistent with recommendations of MTC's Regional Bicycle Plan, all new transit stations that are built as result of Resolution No. 3434 investments must provide direct and convenient pedestrian and bicycle access from adjacent walkways and bicycle facilities. Station access planning shall be consistent with the conclusions reached from the evaluation of FSM 5 in the 2001 Bay Area Ozone Attainment Plan.

Specific Conditions

1. Section 5309 New Starts – The region's priorities for federal New Starts funds are the BART Extension to Silicon Valley and the Muni Central Subway project, with equal priority.

2. Section 5309 Small Starts – The region's priorities for federal Small Starts funds are the AC Transit Oakland/San Leandro Bus Rapid Transit project and the Van Ness Avenue Bus Rapid Transit project in San Francisco, with equal priority.

3. AB 1171 – These funds will be subject to terms and conditions established by MTC acting as the Bay Area Toll Authority (BATA). The balance of these funds not committed in Attachment C will be reserved as follows:

   - **Corridor Improvements Adjacent to the I-80/680 Interchange:** $100 million reserved for improvements in the vicinity of the I-80/680 interchange. These AB1171 funds are in addition to the $100 million approved through Regional Measure 2 (RM2) for corridor improvements in the vicinity of the I-80/680 interchange.
   - **Other Improvements:** $100 million for other corridor improvements.

4. BART Warm Springs to San Jose – In addition to the general terms for operating funding imposed on all projects, the BART Warms Springs to San Jose project is included in the RTP contingent upon approval by the BART and VTA Boards of an operating and maintenance agreement regarding extension of service into Santa Clara County and associated impacts of the extension on the core BART system. If a TDA "lien" is implemented pursuant to the BART/VTA agreement after 2009, MTC will condition allocation of the remaining TDA funds subject to the following:

   At the time that the BART to San Jose extension commences revenue service, or at any point thereafter, should VTA's bus service levels have not achieved, or later fall below, a 600 fleet/500 peak target, then MTC shall hold public hearings at which VTA must demonstrate that services to Title VI communities have been assured, based on MTC's Lifeline Transportation analysis, as validated and amended by transit operators and the Congestion Management Agencies.

Should VTA choose to identify TDA funds as the guaranteed operating and maintenance subsidy pursuant to the BART/VTA agreement and demonstrate that it has secured other funding source

to replace the TDA revenue so guaranteed, then MTC shall not condition its allocation of TDA funds as described above.

5. BART Extension to Warm Springs: MTC commits the following funds subject to availability: $40 million from MTC's share of Proposition 1B State Local Partnership Program, $29 million in RM1 and $5 million in AB 1171. These funding commitments are conditioned upon: 1) BART contributing an additional $24 million; 2) Alameda and Santa Clara Counties contribute $30 million and $16 million, respectively, from Proposition 1B State Local Partnership Program proceeds; and 3) VTA's Board committing to a full funding plan for an operable BART segment in Santa Clara County.

   To address the cash flow challenges wherein the $145 million surplus fare revenue on the BART SFO Extension are not expected to be available during the BART to Warm Springs construction period, $91 million of Regional Measure 2 (RM2) and $54 million, shared equally, in funding advanced from MTC and BART/ACTIA are proposed. This proposal is conditioned on the following: 1) the Commission holding a public hearing and approving reassignment of $91 million in RM2 funds from the Dumbarton Rail project to the BART to Warm Springs project; and 2) first priority and equivalent repayment of $27 million each to MTC and ACTIA/BART from the surplus BART SFO Extension revenues

6. AC Transit Berkeley/Oakland/San Leandro Bus Rapid Transit: MTC commits $35 million in CMAQ funds subject to the following conditions: 1) Alameda County Congestion Management Agency (ACCMA) adopts an RTIP funding commitment plan and explores a strategy to advance the $40 million RTIP funds commitment; 2) AC Transit submits documentation for inclusion into the 2009 Federal Transit Administration (FTA) Small Starts report; and 3) AC Transit adopts a board resolution committing to the following: a) use the $35 million to deliver a useable bus rapid transit segment; and b) develop a phasing plan to deliver the full Berkeley/Oakland/San Leandro Bus Rapid Transit project, if the entire project as submitted to FTA for the Small Starts program, is not immediately deliverable.

7. Dumbarton Rail: Should the Commission hold an RM2 Public Hearing and reassign $91 million in RM2 funds from the Dumbarton Rail project to the BART to Warm Springs project, the $91 million will be replaced with $91 million in Alameda Regional Transportation Improvement Program (RTIP) funds. The reassignment is conditioned on the Alameda County Congestion Management Agency adopting a board resolution committing the RTIP funds to the project. MTC, in cooperation with Caltrain and the other funding partners, shall:

1. Support completion of the alternatives analysis and environmental phase
2. Support steps toward the purchase of Right-of-Way in the ACE, Capitol, and Dumbarton Corridors
3. Support expanded cost-effective express bus service in the corridor to build ridership
4. Explore other funding opportunities, including the potential for future bridge tolls, to accelerate repayment of the reassigned $91 million in RM2 funds.
5. In conjunction with all funding partners, explore other funding opportunities, including the potential for future bridge tolls, to close the $300 million project shortfall.

Date: July 27, 2005
W.I.: 12110
Referred by: POC
Revised: 10/24/07-C

Attachment D-2
Resolution No. 3434

MTC Resolution 3434 TOD Policy For Regional Transit Expansion Projects

1. Purpose

The San Francisco Bay Area—widely recognized for its beauty and innovation—is projected to grow by almost two million people and one and a half million jobs by 2030. This presents a daunting challenge to the sustainability and the quality of life in the region. Where and how we accommodate this future growth, in particular where people live and work, will help determine how effectively the transportation system can handle this growth.

The more people who live, work and study in close proximity to public transit stations and corridors, the more likely they are to use the transit systems, and more transit riders means fewer vehicles competing for valuable road space. The policy also provides support for a growing market demand for more vibrant, walkable and transit convenient lifestyles by stimulating the construction of at least 42,000 new housing units along the region's major new transit corridors and will help to contribute to a forecasted 59% increase in transit ridership by the year 2030.

This TOD policy addresses multiple goals: improving the cost-effectiveness of regional investments in new transit expansions, easing the Bay Area's chronic housing shortage, creating vibrant new communities, and helping preserve regional open space. The policy ensures that transportation agencies, local jurisdictions, members of the public and the private sector work together to create development patterns that are more supportive of transit.

There are three key elements of the regional TOD policy:

(a) Corridor-level thresholds to quantify appropriate minimum levels of development around transit stations along new corridors;

(b) Local station area plans that address future land use changes, station access needs, circulation improvements, pedestrian-friendly design, and other key features in a transit-oriented development; and

(c) Corridor working groups that bring together CMAs, city and county planning staff, transit agencies, and other key stakeholders to define expectations, timelines, roles and responsibilities for key stages of the transit project development process.

2. TOD Policy Application

The TOD policy only applies to physical transit extensions funded in Resolution 3434 (see Table 1). The policy applies to any physical transit extension project with regional discretionary funds, regardless of level of funding. Resolution 3434 investments that only entail level of service improvements or other enhancements without physically extending the system are not subject to

TABLE 1
Resolution 3434 Transit Extension Projects Subject to Corridor Thresholds

Project	Sponsor	Type	Threshold is met with current development?
BART East Contra Costa Rail Extension	BART/CCTA	Commuter Rail	No
BART – Downtown Fremont to San Jose / Santa Clara (a) Fremont to Warm Springs (b) Warm Springs to San Jose/Santa Clara	 (a) BART (b) VTA	BART extension	No
AC Transit Berkeley/Oakland/San Leandro Bus Rapid Transit: Phase 1	AC Transit	Bus Rapid Transit	Yes
Caltrain Downtown Extension/Rebuilt Transbay Terminal	TJPA	Commuter Rail	Yes
MUNI Third Street LRT Project Phase 2 – New Central Subway	MUNI	Light Rail	Yes
Sonoma-Marin Rail	SMART	Commuter Rail	No
Dumbarton Rail	SMTA, ACCMA, VTA, ACTIA, Capitol Corridor	Commuter Rail	No
Expanded Ferry Service to Berkeley, Alameda/Oakland/Harbor Bay, Hercules, Richmond, and South San Francisco; and other improvements.	WTA	Ferry	No

** Ferry terminals where development is feasible shall meet a housing threshold of 2500 units. MTC staff will make the determination of development feasibility on a case by case basis.*

the TOD policy requirements. Single station extensions to international airports are not subject to the TOD policy due to the infeasiblity of housing development.

3. Definitions and Conditions of Funding

For purposes of this policy "regional discretionary funding" consists of the following sources identified in the Resolution 3434 funding plan:

- FTA Section 5309- New Starts
- FTA Section 5309- Bus and Bus Facilities Discretionary
- FTA Section 5309- Rail Modernization
- Regional Measure 1- Rail (bridge tolls)
- Regional Measure 2 (bridge tolls)
- Interregional Transportation Improvement Program
- Interregional Transportation Improvement Program-Intercity rail
- Federal Ferryboat Discretionary
- AB 1171 (bridge tolls)
- CARB-Carl Moyer/AB434 (Bay Area Air Quality Management District) [1]

These regional funds may be programmed and allocated for environmental and design related work, in preparation for addressing the requirements of the TOD policy. Regional funds may be programmed and allocated for right-of-way acquisition in advance of meeting all requirements in the policy, if land preservation for TOD or project delivery purposes is essential. No regional funds will be programmed and allocated for construction until the requirements of this policy have been satisfied. See Table 2 for a more detailed overview of the planning process.

4. Corridor-Level Thresholds

Each transit extension project funded in Resolution 3434 must plan for a minimum number of housing units along the corridor. These corridor-level thresholds vary by mode of transit, with more capital-intensive modes requiring higher numbers of housing units (see Table 3). The corridor thresholds have been developed based on potential for increased transit ridership, exemplary existing station sites in the Bay Area, local general plan data, predicted market demand for TOD-oriented housing in each county, and an independent analysis of feasible development potential in each transit corridor.

[1] The Carl Moyer funds and AB 434 funds are controlled directly by the California Air Resources Board and Bay Area Air Management District. Res. 3434 identifies these funds for the Caltrain electrification project, which is not subject to the TOD policy.

TABLE 2
REGIONAL TOD POLICY IMPLEMENTATION PROCESS FOR TRANSIT EXTENSION PROJECTS

Transit Agency Action	City Action	MTC/CMA/ABAG Action
All parties in corridors that do not currently meet thresholds (see Table 1) establish Corridor Working Group to address corridor threshold. Conduct initial corridor performance evaluation, initiate station area planning.		
Environmental Review/ Preliminary Engineering /Right-of-Way	Conduct Station Area Plans	Coordination of corridor working group, funding of station area plans
Step 1 Threshold Check: the combination of new Station Area Plans and existing development patterns exceeds corridor housing thresholds .		
Final Design	Adopt Station Area Plans. Revise general plan policies and zoning, environmental reviews	Regional and county agencies assist local jurisdictions in implementing station area plans
Step 2 Threshold Check: (a) local policies adopted for station areas; (b) implementation mechanisms in place per adopted Station Area Plan by the time Final Design is completed		
Construction	Implementation (financing, MOUs) Solicit development	TLC planning and capital funding, HIP funding

TABLE 3: CORRIDOR THRESHOLDS
HOUSING UNITS – AVERAGE PER STATION AREA

Project Type / Threshold	BART	Light Rail	Bus Rapid Transit	Commuter Rail	Ferry
Housing Threshold	3,850	3,300	2,750	2,200	2,500*

Each corridor is evaluated for the Housing Threshold. For example, a four station commuter rail extension (including the existing end-of-the-line station) would be required to meet a corridor-level threshold of 8,800 housing units.

Threshold figures above are an average per station area for all modes except ferries based on both existing land uses and planned development within a half mile of all stations. New below market rate housing is provided a 50% bonus towards meeting housing unit threshold.

** Ferry terminals where development is feasible shall meet a housing threshold of 2500 units. MTC staff will make the determination of development feasibility on a case by case basis.*

- Meeting the corridor level thresholds requires that within a half mile of all stations, a combination of existing land uses and planned land uses meets or exceeds the overall corridor threshold for housing (listed in Table 3);
- Physical transit extension projects that do not currently meet the corridor thresholds with development that is already built will receive the highest priority for the award of MTC's Station Area Planning Grants.
- To be counted toward the threshold, planned land uses must be adopted through general plans, and the appropriate implementation processes must be put in place, such as zoning codes. General plan language alone without supportive implementation policies, such as zoning, is not sufficient for the purposes of this policy. Ideally, planned land uses will be formally adopted through a specific plan (or equivalent), zoning codes and general plan amendments along with an accompanying programmatic Environmental Impact Report (EIR) as part of the overall station area planning process. Minimum densities will be used in the calculations to assess achievement of the thresholds.
- An existing end station is included as part of the transit corridor for the purposes of calculating the corridor thresholds; optional stations will not be included in calculating the corridor thresholds.

- New below-market housing units will receive a 50 percent bonus toward meeting the corridor threshold (i.e. one planned below-market housing unit counts for 1.5 housing units for the purposes of meeting the corridor threshold. Below market for the purposes of the Resolution 3434 TOD policy is affordable to 60% of area median income for rental units and 100% of area median income for owner-occupied units);
- The local jurisdictions in each corridor will determine job and housing placement, type, density, and design.
- The Corridor Working Groups are encouraged to plan for a level of housing that will significantly exceed the housing unit thresholds stated here during the planning process. This will ensure that the Housing Unit Threshold is exceeded corridor-wide and that the ridership potential from TOD is maximized.

5. Station Area Plans

Each proposed physical transit extension project seeking funding through Resolution 3434 must demonstrate that the thresholds for the corridor are met through existing development and adopted station area plans that commit local jurisdictions to a level of housing that meets the threshold. This requirement may be met by existing station area plans accompanied by appropriate zoning and implementation mechanisms. If new station area plans are needed to meet the corridor threshold, MTC will assist in funding the plans. The Station Area Plans shall be conducted by local governments in coordination with transit agencies, Association of Bay Area Governments (ABAG), MTC and the Congestion Management Agencies (CMAs).

Station Area Plans are opportunities to define vibrant mixed use, accessible transit villages and quality transit-oriented development – places where people will want to live, work, shop and spend time. These plans should incorporate mixed-use developments, including new housing, neighborhood serving retail, employment, schools, day care centers, parks and other amenities to serve the local community.

At a minimum, Station Area Plans will define both the land use plan for the area as well as the policies—zoning, design standards, parking policies, etc.—for implementation. The plans shall at a minimum include the following elements:

- Current and proposed land use by type of use and density within the ½ mile radius, with a clear identification of the number of existing and planned housing units and jobs;
- Station access and circulation plans for motorized, non-motorized and transit access. The station area plan should clearly identify any barriers for pedestrian, bicycle and wheelchair access to the station from surrounding neighborhoods (e.g., freeways, railroad tracks, arterials with inadequate pedestrian crossings), and should propose strategies that will remove these barriers and maximize the number of residents and employees that can access the station by these means. The station area and transit village public spaces shall be made accessible to persons with disabilities.
- Estimates of transit riders walking from the half mile station area to the transit station to use transit;
- Transit village design policies and standards, including mixed use developments and pedestrian-scaled block size, to promote the livability and walkability of the station area.

- TOD-oriented parking demand and parking requirements for station area land uses, including consideration of pricing and provisions for shared parking;
- Implementation plan for the station area plan, including local policies required for development per the plan, market demand for the proposed development, potential phasing of development and demand analysis for proposed development.

The Station Area Plans shall be conducted according to the guidelines established in MTC's Station Area Planning Manual.

6. Corridor Working Groups

The goal of the Corridor Working Groups is to create a more coordinated approach to planning for transit-oriented development along Resolution 3434 transit corridors. Each of the transit extensions subject to the corridor threshold process, as identified in Table 1, will need a Corridor Working Group, unless the current level of development already meets the corridor threshold. Many of the corridors already have a transit project working group that may be adjusted to take on this role. The Corridor Working Group shall be coordinated by the relevant CMAs, and will include the sponsoring transit agency, the local jurisdictions in the corridor, and representatives from ABAG, MTC, and other parties as appropriate.

The Corridor Working Group will assess whether the planned level of development satisfies the corridor threshold as defined for the mode, and assist in addressing any deficit in meeting the threshold by working to identify opportunities and strategies at the local level. This will include the key task of distributing the required housing units to each of the affected station sites within the defined corridor. The Corridor Working Group will continue with corridor evaluation, station area planning, and any necessary refinements to station locations until the corridor threshold is met and supporting Station Area Plans are adopted by the local jurisdictions.

MTC will confirm that each corridor meets the housing threshold prior to the release of regional discretionary funds for construction of the transit project.

7. Review of the TOD Policy

MTC staff will conduct a review of the TOD policy and its application to each of the affected Resolution 3434 corridors, and present findings to the Commission, within 12 months of the adoption of the TOD policy.

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APPENDIX A – 8

Regional Policies: Long-Range Planning / Plan Bay Area

MTC's Regional Policy for Accommodation of Bicycle and Pedestrian Facilities During Transportation Project Planning, Design, Funding and Construction

MTC Resolution No. 3765

Date: June 28, 2006
W.I.: 1125
Referred by: POC

ABSTRACT

Resolution No. 3765

This resolution sets forth MTC's regional policy for accommodation of bicycle and pedestrian facilities during transportation project planning, design, funding and construction.

Further discussion of these actions are contained in the MTC Executive Director's Memorandum to the Planning Committee dated June 9, 2006.

Date: June 28, 2006
W.I.: 1125
Referred by: PC

RE: Regional Policies for Accommodation of Bicycle and Pedestrian Facilities In Transportation Project Planning, Design, Funding and Construction

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3765

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC adopted Resolution No. 3427 in 2001 which adopted the 2001 Regional Transportation Plan and the 2001 Regional Bicycle Plan for the region; and

WHEREAS, MTC adopted Resolution No. 3681 in 2005 which adopted the Transportation 2030 Plan including Calls to Action to address bicyclist and pedestrian transportation needs during project development; and

WHEREAS, MTC recognizes that coordinated development of pedestrian and bicycle infrastructure offers cost savings in the long term and opportunities to create safe and convenient bicycle and pedestrian travel; now, therefore, be it

RESOLVED, that MTC adopts the Recommendations from the study *Routine Accommodation of Pedestrians and Bicyclists in the Bay Area,* as outlined in Attachment A, attached hereto and incorporated herein as though set forth at length

METROPOLITAN TRANSPORTATION COMMISSION

Jon Rubin, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on June 28, 2006.

Date: June 28, 2006
W.I.: 1125
Referred by: PC

Attachment A
Resolution No. 3765

Routine Accommodation of Pedestrians and Bicyclists in the Bay Area: Study Recommendations

POLICY

1. Projects funded all or in part with regional funds (e.g. federal, STIP, bridge tolls) shall consider the accommodation of bicycle and pedestrian facilities, as described in Caltrans Deputy Directive 64. These recommendations shall not replace locally adopted policies regarding transportation planning, design, and construction. These recommendations are intended to facilitate the accommodation of pedestrians, which include wheelchair users, and bicyclist needs into all projects where bicycle and pedestrian travel is consistent with current, adopted regional and local plans. In the absence of such plans, federal, state, and local standards and guidelines should be used to determine appropriate accommodations.

PROJECT PLANNING and DESIGN

2. Caltrans and MTC will make available routine accommodations reports and publications available on their respective websites.

3. To promote local bicyclist and pedestrian involvement, Caltrans District 4 will maintain and share, either quarterly or semi-annually at the District 4 Bicycle Advisory Committee, a table listing ongoing Project Initiation Documents (PIDS) for Caltrans and locally-sponsored projects on state highway facilities where bicyclists and pedestrians are permitted.

FUNDING and REVIEW

4. MTC will continue to support funding for bicycle and pedestrian planning, with special focus on the development of new plans and the update of plans more than five years old.

5. MTC's-fund programming policies shall ensure project sponsors consider the accommodation of bicyclists and pedestrians consistent with Caltrans' Deputy Directive 64. Projects funded all or in part with regional discretionary funds must consider bicycle and pedestrian facilities in the full project cost consistent with Recommendation 1 above. The Federal Highway Administration recommends including up to 20% of the project cost to address non-motorized access improvements; MTC encourages local agencies to adopt their own percentages.

6. TDA Article 3, Regional Bike/Ped, and TLC funds shall not be used to fund bicycle and pedestrian facilities needed for new roadway or transit construction projects that remove or degrade bicycle and pedestrian access. Funding to enhance bicycle and/or pedestrian access associated with new roadway or transit construction projects should be included in the funding for that project.

7. MTC, its regional bicycle and pedestrian working groups, the Partnership's Local Streets and Roads committee, and the county congestion management agencies (CMAs) shall develop a project checklist to be used by implementing agencies to evaluate bicycle and pedestrian facility needs and to identify its accommodation associated with regionally-funded roadway and transit projects consistent with applicable plans and/or standards. The form is intended for use on projects at their earliest conception or design phase and will be developed by the end of 2006.

8. CMAs will review completed project checklists and will make them available through their websites, and to their countywide Bicycle/Pedestrian Advisory Committees (BPACs) for review and input to ensure that routine accommodation is considered at the earliest stages of project development. The checklist outlined in Recommendation 7 should be the basis of this discussion prior to projects entering the TIP.

9. Each countywide BPAC shall include members that understand the range of transportation needs of bicyclists and pedestrians consistent with MTC Resolution 875 and shall include representation from both incorporated and unincorporated areas of the county.

10. MTC and its partner agencies will monitor how the transportation system needs of bicyclists and pedestrians are being addressed in the design and construction of transportation projects by auditing candidate TIP projects to track the success of these recommendations. Caltrans shall monitor select projects based on the proposed checklist.

TRAINING

11. Caltrans and MTC will continue to promote and host project manager and designer training sessions to staff and local agencies to promote routine accommodation consistent with Deputy Directive 64.

APPENDIX A – 9

Regional Policies: Long-Range Planning / Plan Bay Area

Transit Sustainability Project

MTC Resolution No. 4060

Date: May 23, 2012
Referred by: TSP Select Committee
Revised: 04/24/13-C

ABSTRACT

Resolution No. 4060, Revised

This resolution approves the recommendations of the Transit Sustainability Project.

This resolution was amended on April 24, 2013 to include the Inner East Bay Comprehensive Operational Analysis recommendations.

Discussion of the recommendations made under this resolution is contained in the Executive Director Memorandum presented to the Select Committee on Transit Sustainability on April 11, 2012 and March 27, 2013.

Date: May 23, 2012
Referred by: TSP Select Committee

Re: Transit Sustainability Project

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4060

WHEREAS, pursuant to Government Code § 66500 et seq., the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, MTC develops a long-range Regional Transportation Plan (RTP), pursuant to Government Code §§ 66513 and 65080; and

WHEREAS, the last major update of the RTP, adopted in April 2009 (Transportation 2035 - MTC Resolution No. 3893), identified twenty-five year transit capital and operating shortfalls of $17 billion and $8 billion, respectively; and

WHEREAS, to address these shortfalls, as well as address immediate transit operators' service reductions and budget shortfalls, to improve transit performance for the customer, and to attract more customers to the transit system, in January 2010, the Commission created the Select Committee on Transit Sustainability to guide the Transit Sustainability Project (TSP); and

WHEREAS, the TSP focused on three project elements: financial, service performance and institutional frameworks; and

WHEREAS, to inform the TSP, a Project Steering Committee was formed, made up of transit agency, government, labor, business, environmental and equity representatives to provide executive-level input into the project; and

WHEREAS, additional input and guidance was received from the MTC Policy Advisory Committee, as well as from multiple public events and forums sponsored by interested parties; now, therefore, be it

RESOLVED, that based on project findings related to the financial and service performance of the Bay Area transit system, MTC approves the performance measures and targets and investment recommendations set forth in Attachment A to this resolution; and, be it further

RESOLVED, that based on project findings related to the financial, service performance, and institutional framework of the Bay Area transit system, MTC approves the policy recommendations set forth in Attachment B to this resolution; and, be it further

RESOLVED, that MTC will conduct periodic reviews of progress toward the performance targets and policy recommendation implementation.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was approved by the
Metropolitan Transportation Commission
at a regular meeting of the Commission held
in Oakland, California, on May 23, 2012.

Performance and Investment Policies

Performance Measures and Targets

To monitor the performance of the seven largest transit agencies in the Bay Area, the Commission establishes the following TSP performance target, measures, and monitoring process:

Performance Target

5% real reduction in at least one of the following performance measures by FY2016-17 and no growth beyond CPI thereafter. To account for the results of recent cost control strategies at agencies, the baseline year will be set at the highest cost year between FY2007-08 and FY2010-11.

Performance Measures

- Cost Per Service Hour*
- Cost Per Passenger*
- Cost Per Passenger Mile*

**As defined by the Transportation Development Act*

Monitoring Process

In FY2012-13, agencies are to adopt a strategic plan to meet one or more of the targets and submit to MTC.
On an annual basis, starting in FY2013-14, the transit agencies submit performance measure data on all three targets to MTC.
In FY2017-18, MTC will analyze agency progress in meeting target
In FY2018-19, MTC will link existing and new operating and capital funds administered by MTC to progress towards achieving the performance target.

The following agencies, the largest seven transit agencies in the Bay Area, are subject to the performance measures and targets: AC Transit; BART, Caltrain, Golden Gate Transit, SFMTA, SamTrans, and Santa Clara VTA.

Transit Performance Initiative and Customer Satisfaction Survey

The Commission establishes an investment, incentive and monitoring strategy to improve service performance and attract new riders to the region's transit system. The target for each agency is to increase ridership levels at or above the rate of population growth in counties/corridors in which the agency operates service. Agencies are encouraged to utilize the Transit Competitive Index tool, developed for the Bay Area as part of the TSP, to achieve this target.

Investment
As part of the OneBayArea Grant program, the Commission has established an initial commitment of $30 million to fund service improvements on major bus and light rail corridors, focusing on improvements to major corridors in the AC Transit, SFMTA, SamTrans, and Santa Clara VTA service areas. If successful in demonstrating achievement of operational and ridership goals, similar investments would be recommended in the future.

Incentive
The Commission will reward transit agencies that achieve ridership increases and productivity improvements and will allocate transit funds on the basis of performance, thereby encouraging *all* of the region's transit operators to continuously improve their service and attract more riders. Funding sources, amounts and distribution formulas shall be established by the Commission. In establishing distribution formulas, the Commission shall consider at least one alternative that does not reduce the cumulative current funding level for small operators for the fund sources established by the Commission for this incentive program.

Monitor
Maintaining and/or improving customer satisfaction ratings is an important indicator of whether transit is meeting the needs of the traveling public. The Commission will conduct a bi-annual regional customer satisfaction survey to provide a consistent region-wide mechanism to measure customer satisfaction and provide information to build new ridership and improve service. Agencies will be required to coordinate data collection efforts, either through cost sharing, resource sharing, or project management.

Service, Paratransit and Institutional Recommendations

Service

1. **Integrate bus/rail scheduling software to facilitate schedule coordination and customer travel planning. Establish a regional schedule change calendar.**

   The Commission finds that schedule coordination between connecting agencies will increase the attractiveness of public transit but that connecting agencies make schedule changes on different dates and in some cases use incompatible scheduling software systems that make schedule integration difficult. This recommendation would align the schedule change calendar for major schedule changes among the region's operators and require all connecting operators to implement a compatible scheduling software system. Implementation would be subject to each transit agency's future scheduling system procurement timeline, and, for some agencies, may be subject to negotiation of changes to existing labor contract provisions that govern schedule change dates.

2. **Conduct multi-agency Short-Range Transit Plans (SRTPs) at the county or subregion-level to promote interagency service and capital planning.**

   The Commission has historically provided federal planning funds for each transit agency to independently prepare an SRTP of the agency's 10-year operating and capital plan. This recommendation would strengthen the joint planning that has begun in the region and recommend that transit agencies in a county or multi-agency travel corridor collaborate on a 10-year plan. The multi-agency SRTPs should develop capital replacement priorities and schedules, consider connectivity in service planning, establish fare policy consistency, establish common performance measures, and identify opportunities for shared functions. Future funding for SRTPs will take into account coordination opportunities.

3. **Support transit agency operations on major corridors by requiring local jurisdictions to consider transit operating speeds and reliability in projects affecting these corridors.**

   Travel time savings are a key component in building customer satisfaction and attracting new passengers. Under the Commission's proposed OneBayArea Grants program, local jurisdictions are required to adopt a complete streets resolution to be eligible for regional funding. Complete streets aims to consider all road network users including pedestrians, bicyclists and transit riders. MTC is further proposing to expand the scope of the Freeway Performance Initiative to include investments to improve transit operations on key arterial roadways.

4. Consider fare policies focused on the customer that improve regional/local connections.

Implement the Phase III Clipper requirements to revise existing operations and fare policies to a standardized set of business rules. Continue to work towards a more consistent regional standard for fare discount policies and minimize transfer penalties so that passengers can choose the most optimal route for their transit trip.

5. Recommendations specific to Marin, Sonoma, and Solano Counties

The Commission is committed to achieving more rational service delivery in geographic areas served by multiple transit agencies by supporting the collaboration, coordination and consolidation efforts already underway to bring them to implementation stage.

Sonoma: County-level SRTP work is underway in Sonoma County. MTC will provide funding to the Sonoma County Transportation Authority to collect customer opinion and demographic survey data to better inform service planning throughout the county.

Marin/Sonoma: The commencement of SMART service in Marin and Sonoma counties will alter transit travel patterns. This presents an opportunity to strengthen coordination and service planning among Marin and Sonoma transit providers serving the 101 Corridor and local connections. In coordination with the SRTP process, MTC will work with transit operators and the Marin and Sonoma County CMAs to develop a two-county corridor transit plan for submittal and presentation to the Commission.

Solano: County-level SRTP work is underway in Solano County. MTC will provide funding to the Solano Transportation Authority (STA) to complete the analysis to better inform service planning throughout the county. STA and the Solano transit operators are to use this process to identify service improvements, performance objectives and potential service functional and institutional consolidation opportunities.

6. Inner East Bay Comprehensive Operational Analysis

The Commission supports the following recommendations developed by AC Transit and BART for the Inner East Bay shared service area to: 1) promote a seamless Inner East Bay bus and rail system; 2) build the urban core to allow for spontaneous bus and rail network use by customers; 3) match bus and rail service levels with demand, focusing on improving service productivity while increasing overall system ridership; and 4) ensuring on-going financial sustainability.

BART Service Recommendations for the Inner East Bay

1. Change the dominant BART role from commute to Urban Metro integrated with the Inner East Bay bus network.
2. Implement capacity utilization strategies.
3. Ensure Title VI/Environmental Justice considerations are addressed in both service quality and coverage.

AC Transit Service Recommendations for the Inner East Bay

1. Focus resources on key urban trunk corridors to provide "spontaneous use" Metro network.
2. Redefine "coverage service" or service that provides basic access to transit regardless of ridership levels, as 30 minutes or higher.
3. Invest in service speed improvements.
4. Transbay pilots based on the following design options:
    i. Current service model modified to improve productivity and cost effectiveness
    ii. Fast, frequent shuttles to BART stations
    iii. Augment BART with Transbay service
5. Ensure Title VI/Environmental Justice considerations are addressed in both service quality and coverage.

Joint Fare Product Pilot Programs Recommendation

Implement two pilot fare product programs to provide incentives for customers to use AC Transit and BART interchangeably. The pilots will test the concept that reducing transfer barriers between AC Transit and BART service allows customers to select the optimal mode for each trip. The evaluation of the programs will assess the tradeoffs between Inner East Bay fare revenue and ridership growth.

Paratransit Cost Containment and Service Strategies

The Commission finds that transit agencies must consider strategies to contain the cost of ADA paratransit service using tools that are available to them individually or collectively. MTC expects individual agencies to consider the following strategies:

1. Fixed Route Travel Training and Promotion to Seniors

Expanding fixed route travel training – through mobility orientation sessions and one-on-one individualized training – would increase mobility for the users and help reduce growth of ADA paratransit demand. Ideally, training and outreach should be conducted before individuals apply for paratransit service or, at a minimum, should be made available during the process of determining eligibility for these services.

2. Premium Charges for Service Beyond ADA Requirements

Where transit agencies provide paratransit service that goes beyond what the ADA requires, they may charge extra for those "premium" services. For example, transit agencies that serve an entire jurisdiction (for example they may serve an entire city or taxing district) can define a "two-tiered" service area, with the first tier being the ADA required service area within ¾ mile of the fixed route service and the second tier extending to the jurisdictional limits. A higher fare can then be charged for trips in that second tier. The transit agency can also adopt

differing policies for that premium second tier, such as more limited service hours, denials of service once capacity is reached, and so forth.

3. Enhanced ADA Paratransit Certification Process

A robust certification process that includes in-person interviews as well as evaluations of applicants' functional mobility by trained professionals provides more accurate determinations of applicants' travel skills and may result in more applicants being referred to fixed route service based on their individual abilities. This may result in some reduction in ADA paratransit costs and also result in improving the mobility of riders due to the increased spontaneity afforded by fixed-route transit. Depending on the transit agency, available cost savings range from none to substantial. One centralized regional process is not needed, but many transit agencies can enhance their processes. Some smaller agencies could combine this function for efficiency and to support staff with specialized skills.

4. Implement Conditional Eligibility

Conditional eligibility finds that some applicants can use fixed-route service for at least some of their trips and specifies the particular conditions under which paratransit service is required. While this requires a more sophisticated eligibility certification process of conditional eligibility avoids ADA paratransit costs for those trips that ADA-eligible riders take on fixed-route service. Opportunities exist at several transit operators in combination with an enhanced eligibility process.

5. Creation of sub-regional Mobility Managers (e.g. CTSA) in one or more sub-regional area to better coordinate resources and service customers

National and local coordinated models exist and should be evaluated to deliver high quality and efficient paratransit services across transit agency boundaries and shared costs with social services. Several MTC programs, including Lifeline and New Freedom, have funded mobility management efforts to identify best practices and develop mobility management models for regional replication. The Commission will use the information from these efforts to recommend specific areas and agency leads for implementation of sub-regional mobility managers in the Bay Area.

6. **Improve Fixed-Route Transit (per Plan Bay Area)**

   Continuous improvements to the fixed route system will shift some demand from paratransit to the fixed route system.

7. **Walkable Communities, Complete Streets, and Land Use Planning (per Plan Bay Area)**

   The term "walkable communities" refers to communities that are pedestrian friendly, with sidewalks and pathways connecting residential areas with activity centers. Improving the "walkability" of a community is a more holistic approach to addressing ADA paratransit sustainability than other strategies. Similarly, planning efforts should, to the extent possible, ensure that senior housing and other senior-related facilities are sited in locations that are close to fixed-route services and close-in within the community and proximate to activity centers featuring shopping, medical and other services, as opposed to locations outside the community and isolated from activity centers. The ultimate impact of this recommended strategy is very large, even though this is a long-term strategy in which transit agencies will only play a supportive role. It requires an active role from cities and counties.

   An integrated land-use/transportation plan is the primary goal of Plan Bay Area, under development and scheduled for adoption in 2013. In addition, the proposed OneBayArea grant program seeks to reward local jurisdictions for building housing near transit and conditions funding on adherence to complete streets policies.

Institutional

1. **Complete service consolidations for Soltrans and ferry services (Vallejo, Alameda-Oakland, and Harbor Bay).**

   Per the Solano Transit Consolidation Study conducted by the Solano Transportation Authority – the cities of Vallejo and Benicia have formed a joint powers authority (Soltrans) to operate their transit service as a consolidated system. Senate Bill 1093 called for the consolidation of Vallejo, Alameda-Oakland, and Harbor Bay ferry services under WETA. WETA has adopted a transition plan to guide the consolidation of all ferry service, except the Golden Gate ferry services. WETA is currently operating the Alameda-Oakland and Harbor Bay ferry service and set to assume Vallejo service in 2012. Soltrans has completed the initial stages of the consolidation. The Commission will support these agencies and monitor progress during the consolidation process and support Solano County to move forward to consider further consolidations as supported through local planning.

2. **Pursue functional and institutional consolidation among smaller operators where supported by local planning and input.**

   Through the local planning process and, as transit agencies do coordinated planning and fare policy setting, the benefits of functional and institutional consolidation should be further evaluated. Work with Congestion Management Agencies and operators, focusing on

Marin/Sonoma and Solano to continue to improve coordination and evaluate the benefits of additional functional and/or institutional consolidation to improve the financial stability and service for the customer. The appropriateness of these efforts and timeline will be established based on local planning and input.

3. **Integrate multiple transportation functions (transit operating, planning, sales tax, etc).**

   The importance of other transportation decisions, such as roadway projects and pricing, in the success and performance of the public transit system was highlighted throughout the TSP. Therefore, opportunities to better integrate these decision-making authorities should be explored. Currently, the Santa Clara Valley Transportation Authority is the one example of an agency in the region that serves as the sales tax authority, transit agency, and congestion management agency. Work with transit operators and Congestion Management Agencies to identify potential vertical integration opportunities and local support for such integration.

4. **Expand regional capital project planning/design to include sharing existing expertise (e.g., BRT) and facilities (e.g., maintenance shops).**

   Several transit agencies and congestion management agencies in the region have developed robust expertise in capital project development and delivery. As new projects or systems are developed, expertise should be shared across transit agencies to optimize resources. Using Plan Bay Area project listings, MTC will identify specific upcoming projects that may benefit from a sharing of resources and convene a joint discussion of county CMAs and transit agencies to identify specific projects and terms for sharing resources.

5. **Formalize joint procurement of services and equipment.**

   Transit agencies currently have an informal process to monitor each other's bus purchases, allowing agencies to "piggy-back" on another Bay Area or national procurement. This reduces administrative costs of duplicative procurement processes and lowers the unit cost of the purchase because of the higher volume order. The TSP recommends that these joint procurements be strengthened and formalized.

   The Commission will identify typical annual procurements (scope and cost) in addition to those included in the Regional Transit Capital Inventory (major capital replacements), convene transit agencies to identify strong candidate services and equipment for joint procurement, and work with transit operators to evaluate and implement joint procurement models.

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APPENDIX A – 10

Regional Policies: Long-Range Planning / Plan Bay Area

MTC's Transit Coordination Implementation Plan

MTC Resolution No. 3866

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee
Revised: 10/26/11-C

ABSTRACT

Resolution No. 3866, Revised

This resolution updates and adopts MTC's Transit Coordination Implementation Plan pursuant to the requirements of California Government Code §§ 66516 (SB 1474) and 66516.5; Public Utilities Code §§ 99282.5l and 99314.7; and Streets and Highways Code § 30914.5.

This resolution supersedes Resolution No. 3055, as amended.

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee

Re: Transit Coordination Implementation Plan

METROPOLITAN TRANSPORTATION COMMISSION

RESOLUTION NO. 3866

WHEREAS, pursuant to Section 66516 of the California Government Code, the Metropolitan Transportation Commission (MTC) is required to adopt rules and regulations to promote the coordination of fares and schedules for all public transit systems within its jurisdiction and to require every system to enter into a joint fare revenue sharing agreement with connecting systems; and

WHEREAS, pursuant to Section 66516.5 of the Government Code, MTC may identify and recommend consolidation of those functions performed by individual public transit systems that could be consolidated to improve the efficiency of regional transit service and;

WHEREAS, pursuant to Section 99282.5 of the California Public Utilities Code (PUC), MTC is required to adopt rules and regulations to provide for governing interoperator transfers so that the public transportation services between public transit operators are coordinated; and

WHEREAS, pursuant to Section 99314.7 of the Public Utilities Code, MTC is required to evaluate an operator's compliance with coordination improvements prior to an operator receiving allocations of State Transit Assistance (STA) funds; and

WHEREAS, pursuant to Section 30914.5 of the Streets and Highways Code, MTC must adopt, as a condition of Regional Measure 2 fund allocation, a regional transit connectivity plan to be incorporated in MTC's Transit Coordination Implementation Plan pursuant to Section 66516.5, requiring operators to comply with the plan, which must include Policies and procedures for improved fare collection; and

WHEREAS, MTC previously adopted Resolution No. 3055 to implement these requirements; and

WHEREAS, in order to ensure progress toward implementing coordination recommendations, MTC wishes to formalize these recommendations by adopting the rules and requirements required pursuant to Government Code Section 66516 and PUC Section 99282.5 as set forth in this MTC Transit Coordination Implementation Plan, which includes a regional Transit Connectivity Plan and Implementation Requirements, attached to this Resolution as Attachments A and B, and incorporated herein as though set forth at length;

WHEREAS, MTC has consulted with the region's transit agencies to develop the regional Transit Connectivity Plan and Implementation Requirements, as required by Government Code §§ 66516 and Streets and Highways Code § 30914.5; now therefore be it

RESOLVED, that MTC adopts the Transit Connectivity Plan ("Plan") as set forth in Attachment A; and be it further

RESOLVED, that MTC adopts the Implementation Requirements, as set forth in Attachment B; and, be it further

RESOLVED, that prior to determining fund programming and allocations for an operator, MTC shall review the efforts made by the operator to implement the requirements identified in Attachments A and B, and if MTC determines that the operator has not made a reasonable effort to implement the requirements of Attachments A and B, MTC may, at its discretion, withhold, restrict or re-program funds and allocations to such operator to the extent allowed by statute, rule, regulation, or MTC policy; and, be it further

RESOLVED, that all funds subject to programming and/or allocation by MTC are covered by this resolution including but not limited to State Transit Assistance, Transportation Development Act, Regional Measure 2, Congestion Mitigation and Air Quality, Surface

Transportation Program and Transit Capital Priorities funds, to the extent permitted by statute; and, be it further

RESOLVED, that this resolution shall be transmitted to the affected transit operators to guide them in development of their annual budgets and short-range transit plan revisions; and, be it further

RESOLVED, that the Operations Committee is authorized to approve amendments to Attachments A and B, following consultation with the affected transit operators; and be it further

RESOLVED, this resolution supersedes Resolution No. 3055.

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

The above resolution was entered into by
the Metropolitan Transportation Commission
at a regular meeting of the Commission held in
Oakland, California, on February 24, 2010

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee

Attachment A
MTC Transit Connectivity Plan

This Attachment A incorporates by reference the Transit Connectivity Plan, previously approved by MTC in MTC Resolution No. 3055, which may be downloaded at:
http://www.mtc.ca.gov/planning/connectivity/index.htm.

Attachment B
Implementation Requirements

The purpose of these Implementation Requirements is to establish the expectations and requirements for each transit agency with respect to implementing the recommendations of the Commission's Transit Connectivity Plan (2006) and maintaining other transit coordination programs, to outline the process by which MTC will involve transit operators in changes to coordination requirements, and to establish the process for Commission action in the event of transit agency non-compliance with these implementation requirements. A copy of this Resolution 3866 is available for download at http://www.mtc.ca.gov/planning/tcip/.

Per the Transit Connectivity Plan, MTC places high priority on improvements that:

- Accomplish tangible improvements for the passenger;
- Benefit the largest number of transit users, including both inter- and intra-system transit riders, to the extent possible;
- Improve system productivity by sharing agency resources; and
- Enhance the ability of transit riders to reach significant destinations in adjoining jurisdictions and along regional corridors by (1) improving the connections between system services and (2) providing through service to adjoining jurisdictions in those cases where the market clearly justifies such service.

In order to manage resources effectively, MTC will focus on a limited number of high priority improvements, transfer project leadership from MTC to one or more transit agencies where possible upon agreement of project partners, and establish priorities for implementing new projects.

The Commission has established specific transit operator requirements to implement a coordinated regional network of transit services and to improve overall service productivity as defined in the Transit Connectivity Plan. Any agency that is an eligible recipient of funds subject to allocation or programming by MTC is subject to these requirements, including, but not limited to the following:

1. Altamont Commuter Express
2. Alameda-Contra Costa Transit District
3. Bay Area Rapid Transit District
4. Caltrain
5. Capital Corridor Joint Powers Authority
6. Central Contra Costa Transit Authority
7. Dumbarton Bridge Route Operating Consortium
8. Eastern Contra Costa Transit Authority
9. Golden Gate Bridge, Highway and Transportation District
10. Livermore Amador Valley Transit Authority
11. Marin County Transit District
12. Napa County Transportation Planning Agency
13. San Francisco Municipal Transportation Agency
14. San Mateo County Transit District
15. Santa Clara Valley Transportation Authority
16. Solano Transportation Authority
17. Sonoma County Transit
18. Sonoma Marin Area Rail Transit
19. Transbay Joint Powers Authority
20. Union City Transit
21. Water Emergency Transportation Authority
22. Western Contra Costa Transit Authority
23. City of Alameda
24. City of Benicia
25. City of Cloverdale
26. City of Dixon
27. City of Emeryville
28. City of Fairfield/Suisun City Transit
29. City of Healdsburg
30. City of Petaluma
31. City of Rio Vista
32. City of Santa Rosa
33. City of Vacaville
34. City of Vallejo

A. Operator Implementation Requirements

1. Implementation Requirements

The region has a history of implementing projects to improve transit coordination. Early efforts focused on regional programs and policies such as disseminating tax-free transit benefits and making paratransit eligibility determinations. More recent efforts, such as the Transit Connectivity Plan, identified improvements to (1) designated regional transit hubs, including way-finding signage and transit information, real time transit information, schedule coordination, last-mile services and hub amenities, and (2) system wide connectivity improvements, including 511 information and Clipper®.

Specific implementation requirements for transit operators are listed in Appendices to this Attachment:

- Appendix B-1, 511 Transit Program Requirements (including real-time transit);
- Appendix B-2, Regional Transit Hub Signage Program Requirements;
- Appendix B-3, Clipper® Implementation Requirements; and
- Appendix B-4, Maintenance of Existing Coordinated Services.

As MTC continues to address recommendations from the Transit Connectivity Plan and other emerging issues such as Transit Sustainability, new implementation requirements may become necessary. The appendices may be modified to reflect changes in implementation

responsibilities, following the procedures outlined in this Attachment B, and subject to approval by the Commission.

2. SB 602 Fare and Schedule Coordination Requirements

Currently, each operator certifies its adherence to the provisions of SB 602 (Statutes 1989, Chapter 692, Government Code Section 66516, and as subsequently amended) as part of the annual allocation process for TDA and STA funds when requests for these funds are submitted to MTC. The SB 602 requirements are now incorporated into this Res. 3866, and each operator's compliance will be monitored accordingly. Per the requirements of SB 602, each transit agency in the region has a revenue sharing agreement with every connecting agency. In some cases, this takes the form of a reciprocal agreement to accept each other's passengers free of charge or to honor each other's period passes or single-trip transfers for a discounted fare. The BART/Muni FastPass is an example of a joint fare instrument to address SB602 requirements. Each transit agency in the region is required to maintain these reciprocal agreements as a condition of receiving STA funds (Gov. Code 66516).

3. Preserve Ability to Post and Disseminate Transit Information

MTC expects transit operators to preserve rights for MTC and connecting transit operators to post and disseminate connecting transit information for free within their facilities. This would include but not be limited to route, schedule, fare, real-time transit information and information about regional transit projects (511, Clipper®). For any transit agency that has already entered into a third-party agreement that compromises these rights, MTC expects the transit agency to make good faith efforts to reinstate these rights in their agreement at the earliest opportunity and, at a minimum, to reinstate such rights in future agreements or renewals entered into after adoption of this Resolution. Nothing herein shall be interpreted as requiring transit agencies to display advertising. Rather, the objective is to provide transit customers with pertinent information that improves their transit experience.

B. Cost-Sharing

Implementation activities and other new transit connectivity and coordination efforts added to these Implementation Requirements will be funded with MTC discretionary funds, transit agency funds, and/or in-kind contributions of MTC and transit agency staff resources. If MTC considers adding new projects or services, MTC would implement the consultation process described in Section C below to vet any expected cost impacts on the operators. Transit agencies are required to waive all agency fees (for permits, etc.) they would otherwise charge to MTC, other transit operators or third-party contractors to implement and maintain regional transit coordination projects detailed in these requirements. Unless otherwise noted, MTC and transit agencies are expected to cover the cost to implement their respective roles and responsibilities as identified in these requirements or in pre-existing agreements. As specific initiatives move to implementation, a lead agency may be designated to coordinate implementation activities on behalf of the other participating transit agencies. Any agency that assumes this lead role and incurs costs that it would otherwise not assume in order to perform this function may be reimbursed, based upon an equitable agreement with the participating agencies, on a marginal cost basis (i.e., the additional cost the transit operator incurs to perform the work).

C. Consultation Process

MTC will consult with transit agencies when defining new coordination requirements for inclusion in Res. 3866 or when updating or revising requirements already in Res. 3866.

MTC will first consult with one or more of its technical advisory committees (TACs) to receive transit agency input on the specific implementation requirements. MTC will notify TAC members of the meetings and provide agendas in advance, and facilitate TAC discussions. Affected transit operators are expected to participate. Transit agencies are responsible for ensuring that the appropriate staff attends TAC meetings, that they participate in discussions in good faith, and that they communicate with other relevant staff within their agency (including those employees whose work may be affected) and executive management so that timely and constructive agency feedback can be provided to MTC. MTC will consider TAC input when formulating draft policy. In cases where there is no relevant TAC to address the issue under consideration, MTC will formulate draft policy and solicit feedback from general advisory groups, such as the Partnership Technical Advisory Committee (PTAC) or the Transit Finance Working Group.

At its discretion, MTC may also solicit input from the Partnership Board, the Partnership Technical Advisory Committee, the Transit Finance Working Group and MTC's Policy Advisory Council prior to Commission action. Following consultation with the TAC(s) and/or other advisory groups, MTC will solicit feedback from the Partnership Transit Coordination Committee. MTC will provide notification of the proposed PTCC meeting and agenda through written communication to transit general managers and transit program coordinators and posting of the meeting materials on MTC's web site.

After consulting with transit agencies, MTC will forward staff's recommendations to the MTC Operations Committee and the Commission.

D. Sanctions

The Commission expects each transit agency to comply with the requirements outlined in this Resolution and its Attachments as a condition of eligibility for STA and TDA funds, Regional Measure 2 funds, transit capital funds (including federal transit formula funds, STP, CMAQ and STIP funds) and other funds subject to Commission programming and allocation actions. MTC intends that the region's transit agencies will implement these requirements in good faith and cooperation among themselves and with MTC. The sanction of withholding, restricting or re-programming funds to enforce cooperation will be exercised by MTC in cases where an agency fails to meet or fails to exhibit good faith in meeting these requirements. In such cases, MTC staff will notify the agency of the possibility that a sanction may be imposed. This notification will also recommend corrective actions that the agency should take to meet the implementation requirements. The notification will be sent no less than sixty (60) days prior to forwarding an MTC staff recommendation to the Commission.

Appendix B-1
511 Transit Information Requirements

MTC provides static transit data (i.e. schedules/trip planning information) through the 511 phone and web service and real-time transit departure information through the 511 phone and web services and the Regional Hub Signage Program. MTC requires the full participation and support of all transit agencies to deliver quality and timely information. MTC and the transit agencies have jointly developed data transfer mechanisms for schedule, trip planner and real-time transit data and identified appropriate roles and responsibilities for all parties, as documented in "*511 Transit Program Roles and Responsibilities*." MTC will review these requirements on an as-needed basis with transit agency partners. Additionally, MTC and the Real-Time Transit TAC developed "*Real-time Transit Information System System Requirements*" that detail the system requirements for all parties. The two documents are available at: http://www.mtc.ca.gov/planning/tcip/. The key roles and responsibilities to provide transit agency data on 511 services are as follows:

Transit Agencies will:

Generally:

1. Participate in MTC's 511 RTIS and Real-Time Transit Technical Advisory Committees.
2. Support, fund and staff their roles and responsibilities related to the 511 services as described below.
3. Notify transit customers of the availability of 511 information and 511.org on transit agency web sites, in printed materials, at bus stops/rail stations, and on other transit agency information channels.

For Static Transit Information (Schedules/Trip Planner):

4. Provide accurate, complete, timely information regarding transit routes, stops, schedules, fares for dissemination on all 511 features and services.
5. Transmit schedule and other transit service information to MTC in advance of any schedule changes to allow for MTC's timely inclusion in the 511 Transit website. MTC will provide a schedule identifying the necessary advance time.
6. Perform quality control review (focusing on data changed for upcoming service revisions) on a representative sample of agency service data prior to transmittal to MTC for MTC's timely inclusion in 511's features and services.

For Real-time Transit Information:

7. Provide prediction data to the Regional System by establishing and maintaining a data connection to the Regional System and operating and maintaining an interface application.
8. Meet requirements, as defined in "*Real-time Transit Information System System Requirements*", including the standard interface requirements, and in "*511 Transit Program Roles and Responsibilities*".
9. Conduct on-going performance monitoring to ensure accurate and timely transfer of data to the Regional System and accurate provision of prediction data to the public, in collaboration with MTC.
10. Ensure that there is no impact to its provision of prediction data to 511 in the event that the transit agency provides its specific prediction data to a third party.

11. Provide service disruption information to 511 where available and logistically feasible through agreed upon formats.

MTC will:

Generally:

1. Organize and facilitate MTC's 511 Transit RTIS and Real-time Transit Technical Advisory Committees (TAC).
2. Fund, operate, and maintain the 511 services for regional transit information, including 511.org, the 511 transit website, 511 phone, regional real-time transit signs at transit hubs, and other relevant new applications.
3. In collaboration with transit agencies, conduct performance monitoring to ensure accurate and timely transfer of both static and real-time transit data to the Regional 511 System.

For Static Transit Information (Schedules/Trip Planner):

4. Notify transit customers of the availability of transit agency websites at appropriate locations on web site pages of 511.org.

For Real-time Transit Information:

5. Share with third party vendors and the general public the real-time transit data as described in "*511 Transit Program Roles and Responsibilities*".
6. Provide agencies with contact information for the 511 Traveler Information Center (TIC) to allow for the posting of real-time transit service disruption/emergency information on 511

Appendix B-2
Regional Transit Hub Signage Program Requirements

MTC and transit agencies have developed the Regional Transit Hub Signage Program Technical Standards and Guidelines (e.g. 'the Standards') to ensure consistency across the region as the signage is deployed and maintained. A detailed version of the Standards is available at: http://www.mtc.ca.gov/planning/tcip/. The Standards may be periodically updated to reflect their evolution through the Concept Plan and Design/Plan, Specification and Estimates phases of implementation.

The Standards include:

1. Four main sign types: directional signs, wayfinding kiosks, transit information displays, real-time transit information displays.
2. Guidance to locate signs at key decision points between transit operator services.
3. Design elements to establish a common "look" and "feel" for the signage including:
   - Orange 'i' icon on a green background;
   - Standard logos, icons, arrows and messages and an organizing hierarchy;
   - Standard 'frutiger' font;
   - Hierarchy for the location of information in each sign;
   - Consistent map orientation and colors;
   - Directional map compass and walking distance/time radius;
   - Transit stop designation through agency logo/mode icon/route number 'bubbles'; and
   - Prominent 511 logo/message and regional transit program information.

Transit Agencies will:

1. Lead and/or actively participate in the process to implement the Hub Signage Program. Participate on the Transit Connectivity TAC.
2. Comply with the Standards which generally apply to the 21 regional transit hubs identified in the Transit Connectivity Plan and three airports. Where exceptions to the Standards are desired, transit operators must seek prior approval from MTC. Where ambiguity in the Standards exists, transit operators shall request clarification from MTC.
3. Comply with cost responsibilities. Per Res. 3771 (July 2006), costs associated with implementing the Regional Transit Hub Signage Program at the 24 hubs are shared. A revised matrix clarifying cost responsibility by sign type is included as Appendix B-2, Attachment 1. After initial installation, maintenance and replacement of each sign shall be the responsibility of the assigned transit agency.
4. Comply with task responsibilities (O&M, replacement and ownership) further detailed in Appendix B-2, Attachment 1. MTC expects that transit agencies will jointly confirm task responsibility for each sign at each hub during the Concept Plan phase, prior to sign installation, which will ultimately be documented in a table titled "Hub Signage Program Sign Ownership", incorporated herein by reference, and posted on MTC's website at http://www.mtc.ca.gov/planning/tcip/. In most cases, the transit agency that owns the property on which the sign is installed will be assigned responsibility. For signs installed on property not owned by a transit agency, the transit agency providing the most service

(passenger boardings) in the area of the sign will be assigned responsibility. Some negotiation between transit agencies may be necessary depending on sign location. Signs will not be installed until task responsibilities are final. Once installed, transit agencies must comply with the agreed-upon task responsibilities.

5. Facilitate the permitting of signs by waiving all fees that a transit agency would usually charge for sign installation on its property or leased operating area.
6. As transit agencies plan new facilities or prepare for major remodels of existing facilities, they shall consult with MTC early in the planning process for applicability of the Standards to the project.

MTC will:

1. Develop, document and periodically update regional sign Standards.
2. Support coordination of Hub Signage Program implementation at all 24 hubs.
3. Comply with cost and task responsibilities detailed in Appendix B-2, Attachment 1.
4. Solicit feedback from transit agencies on significant changes to regional policy affecting the 24 hubs through the Transit Connectivity Technical Advisory Committee.
5. As resources permit, provide technical assistance to transit agencies wishing to extend the regional sign Standard to non-regional hubs.

Appendix B-2, Attachment 1: Hub Signage Program Cost/Task Responsibilities

Hub Signage Program Element	Task	Est. Cost	Cost Responsibility		Task Responsibility	
			Regional	Operator*	Regional	Operator*
All Sign Types	1. Initial Deployment Concept Plans; Design/PSEs, Procure, Fabricate & Install	$10,053,000	X		MTC-led hubs	BART Santa Rosa
Directional/Wayfinding Signs (including hub identification signs)	2. Annual Operations and Maintenance (O&M), including: Info. content, electricity, cleaning, graffiti removal, repairs	$680,000		X		X
	3. Lifecycle Replacement Planning, procurement, coordination, installation	(included in #2)		X		X
	4. Ownership Insurance liability, warranty claims	(included in #2)		X		X
Wayfinding Kiosks	5. Annual Operations and Maintenance (O&M), including: Electricity, regular cleaning and graffiti removal, repairs	(included in #2)		X		X
	Information content, quarterly cleaning		X		X	
	6. Lifecycle Replacement Planning, procurement, coordination, installation	(included in #2)		X		X
	7. Ownership Insurance liability, warranty claims	(included in #2)		X		X
Real-Time Transit Signs	8. Annual Operations and Maintenance (O&M), including: Electricity, communications, cleaning, graffiti removal, repairs, status reporting	$254,000		X		X
	Information content		X		X	
	9. Lifecycle Replacement Planning, procurement, coordination, installation	$240,000	X			X
	10. Ownership Insurance liability, warranty claims	(included in #8)		X		X
Transit Information Displays	11. Annual Operations and Maintenance (O&M), including: Regular cleaning, damage/graffiti reporting	$177,000		X		X
	Information content, electricity, communications, quarterly cleaning/graffiti removal, repairs, status reporting		X		X	
	12. Lifecycle Replacement Planning, procurement, coordination, installation	(included in #11)		X		X
	13. Ownership Insurance liability, warranty claims	(included in #11)		X		X
Totals	**Initial Capital Costs** **Annual O&M, Replacement Costs**	**$10,053,000** **$1,351,000**				

**In most cases, the transit agency who owns the property on which the sign is installed is responsible. For signs installed on property not owned by a transit operator, the transit agency providing the most service (passenger boardings) in the area of the sign is responsible. Sign responsibility will be confirmed as part of project planning prior to installation.*

Appendix B-3
Clipper® Implementation Requirements

This Appendix defines the Commission's expectations of the transit agencies to ensure a successful operation of the Clipper® (formerly TransLink®) system in three sections:

I. Participation Requirements
II. Regional Clipper® Communications and Marketing Activities
III. Fare Media Transition Schedules by Specific Operators

Section I describes general Clipper® implementation requirements for participating operators.

Section II defines expectations for communications and marketing: a program area critical to smooth implementation of a full transition to Clipper® that can only be addressed through a collaborative, regional approach.

Section III establishes the dates by which the transit agencies that are currently operating Clipper® will transition their existing prepaid fare media to Clipper®-only availability.

I. Participation Requirements

The following transit agencies are currently operating Clipper® as their fare payment system: AC Transit, BART, Caltrain, Golden Gate Ferry and Transit, SFMTA, SamTrans, and VTA. Six of these agencies (not including Caltrain) were slated to be the first to operate Clipper® and were classified as charter members in the Clipper® Consortium, formed on December 12, 2003 by MTC and the six transit operators entering into the TransLink® Interagency Participation Agreement (IPA).[1] All seven agencies have negotiated and are in the process of entering into a Memorandum of Understanding (MOU) that will supersede the IPA when executed by all seven agencies and MTC. References in this Attachment to the IPA shall be read and understood to be references to the MOU after it becomes final.

The following describes general Clipper® implementation requirements for participating operators.[2] An operator's failure to meet one or more of these requirements may result in non-compliance with Resolution 3866.

1. Implement and operate the Clipper® fare payment system in accordance with the Clipper® Operating Rules, as adopted and amended from time to time by MTC. The current Clipper® Operating Rules (approved in October 2010) are incorporated herein by this reference. The Clipper® Operating Rules establish operating parameters and procedures

[1] MTC withdrew from the Consortium effective July 1, 2010, as permitted by the IPA, however, certain of its provisions related to cost allocation and indemnification continue to apply to MTC.

[2] Items 1-6 are based on provisions of the IPA, as amended on June 27, 2005 and December 4, 2007, revised as a result of MTC's withdrawal from the Consortium.

for the consistent and efficient operation of Clipper® throughout the region and are available on MTC's website at http://www.mtc.ca.gov/planning/tcip/.

2. Pay its share of variable operating costs, according to the cost allocation formula set forth in Appendix A to the IPA, Cost Allocation and Revenue Sharing, except to the extent such costs are reduced by the incentive payments made by MTC (as referenced in Appendix A to the IPA).

3. Abide by the revenue sharing formula in Appendix A to the IPA.

4. Make its facilities and staff available to MTC and the Clipper® Contractor for implementation of Clipper®. Any Operator and MTC may agree to an Operator-Specific Implementation Plan, setting forth specific requirements regarding implementation and operation of Clipper® for such Operator.

5. Make determinations regarding the placement of Clipper® equipment on the Operator's facilities and equipment; perform necessary site preparation; attend Clipper® Contractor training on the use of the Clipper® equipment; and provide training to employees using the equipment.

6. Accept transfer of ownership of equipment one year following Conditional acceptance by each Operator, as defined in Section 8.3 of the Clipper® Contract (or for Phase 3 operators one year following Acceptance, as established by contract change order.[3]) Maintain and track a list of all equipment.

7. Perform actions necessary to support transfer of ownership of the Clipper® bank accounts from BART to MTC. MTC must have fiduciary responsibility for patrons' prepaid balances no later than the date on which MTC's withdrawal from the Consortium becomes effective.

8. Implement, operate and promote Clipper® as the primary fare payment system for each Operator. Clipper®'s primary market is frequent transit riders (i.e., commuters and transit passholders). Operators shall not establish other fare payment systems or fare policies that could deter or discourage these patrons' preference to use Clipper®. Operators shall set fares so that fares paid with Clipper® are equivalent or lower than fares paid either with cash or other forms of payment.

   No new non-Clipper® prepaid fare product, other than for promotional, special event or limited-audience—e.g., tourist—fares, shall be created by any transit operator without consulting with and receiving prior approval from MTC.

   Nothing in this provision is intended to discourage operators from providing leadership on new technologies or innovations that would offer improvement to fare collection

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[3] The Clipper® Contract refers to the Design Build Operate Maintain contract between MTC and Cubic Transportation Systems, Inc. for the Clipper® fare payment system. The contract was assigned to Cubic on July 2, 2009 and has an operating term extending through November 2, 2019.

operations or the customer experience. The expectation is that these new initiatives should leverage the attributes and assets of Clipper®, not compete with Clipper® or undermine customers' preference to use Clipper®.

9. Perform first-line maintenance upon Clipper® equipment located on their facilities or vehicles, promptly notify the Clipper® Contractor when second-line maintenance of Clipper® equipment is needed, promptly notify MTC and the Clipper® Contractor of any issues affecting daily financial reconciliation or accuracy of system reports, issue all types (including, but not limited to, cards configured as senior or youth) of Clipper® cards and add value to existing Clipper® cards from all Ticket Office Terminals located at their business facilities, and provide at least the same level of front-line customer service to their patrons using Clipper® as to patrons using other forms of fare payment.

10. Sufficiently train and educate agency personnel who have Clipper®-related responsibilities so those personnel are able to carry out the requirements placed upon operators in this Resolution.

11. Assist MTC, as necessary, to develop a program for Transit Capital Priorities (TCP) funds for the purpose of procuring and installing end-of-lifecycle Clipper® equipment and to submit and administer grants for programmed TCP funds on a "pass-through" basis.

12. Upon transfer of ownership of equipment, take financial responsibility for replacement of equipment damaged in-service due to vandalism or any other cause not covered by the Clipper® Contract warranty.[4]

II. Regional Clipper® Communications and Marketing Activities

1. Effective Date. For operators currently operating the Clipper® system, these Clipper® marketing and communications requirements are effective immediately. For operators not yet operating Clipper®, the requirements are effective two months after MTC's approval of the Clipper® system as Revenue Ready for that operator.

2. General Requirements. Operators shall present Clipper® to customers, employees and media as a fully operational fare payment option. This includes, but is not limited to, identification of Clipper® as a fare payment option in brochures, websites, advertisements, schedules/timetables, email newsletters, internal memos, bulletins and training manuals, and any other materials that describe an operator's fare payment options. Operators shall present Clipper® as an option so that Clipper® has equal or greater prominence than the presentation of other payment options. Each operator shall incorporate and/or modify the presentation of Clipper® in existing brochures, websites, schedules/timetables, etc. whenever the operator next updates the content of these items.

   In all cases, operators' marketing and communications about Clipper®, whether in brochures, websites, advertisements or other forms, shall adhere to Clipper® brand guidelines developed

[4] MTC shall procure replacement equipment on an operator's behalf, and operators shall pay for the full cost of the equipment including all installation costs and materials.

by MTC with input from transit operators. The Clipper® Brand Guidelines are available athttps://www.clippercard.com/ClipperWeb/toolbox.do.

3. Equipment Identification. If not already identified as such, operators shall identify Clipper®-compatible fare payment and Clipper®-compatible vending equipment with a decal or other visual identifier to indicate the equipment's Clipper® compatibility.

4. Operator Training. Operators shall ensure appropriate Clipper®-related training for transit operator staff including, but not limited to, vehicle operators, station agents, conductors, customer service personnel, proof of payment officers, ticket sales staff and any other personnel responsible for interacting with customers concerning payment options.

5. Marketing Coordination. Operators shall participate in the development and implementation of a Clipper® marketing and communications initiative that will begin approximately June 1, 2010. This includes, but is not limited to:
   - Staff participation in the development and implementation of the initiative;
   - Dissemination of Clipper® brochures and/or other information materials on vehicles and/or in stations in a manner consistent with the operator's dissemination of other similar operational information; and
   - Providing information about Clipper® utilizing space available on vehicles and/or in stations that is already used by the operator for dissemination of operational information (space available includes, but is not limited to, car cards, posters, and electronic displays).

6. Funding. Funding for the initial phases of the communications and marketing program shall come from the marketing funds already in the Clipper® capital budget and previously assigned to individual operators.

III. Fare Media

The tables below set forth ***the fare media*** that the designated operator shall convert to Clipper®-only availability and ***the date*** by which the operator shall no longer accept such fare media in its existing form. In general, MTC has emphasized with each operator a transition of those fare products which currently represent a significant portion of that operator's boardings.

An operator will be excused from compliance with a transition date requirement for particular fare media, if the Clipper® Contractor has not met at least 80% of the cardholder support service level standards set forth in Section B.1.12 of the Clipper® Contract for the two calendar months ending one month before the scheduled transition date. The operator's transition date requirement for the affected fare media will be reset to one month after the Clipper® Contractor has met at least 80% of the Clipper® Contract's cardholder support service level standards for two consecutive calendar months.

AC Transit will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
EasyPass	Transition done	
31-Day Transbay Pass – Adult	Transition done	
Bear Pass (U.C. Berkeley Employee Pass)	Transition done	
10-Ride Ticket – Youth	Transition done	
10-Ride Ticket – Adult	Transition done	
31-Day Local Pass – Youth	Transition done	
31-Day Local Pass – Adult	Transition done	
10-Ride Ticket – Senior/Disabled	Transition done	Product in paper form was effectively eliminated upon transition of Youth 10-Ride Ticket to Clipper®-only.

BART will transition its existing fare media by the following dates:

Fare Media	Date for Ending Sales and/or Acceptance of Listed Prepaid Fare Media	Comments
EZ Rider card as payment for transit	Transition done	
High Value Discount (HVD) adult magnetic stripe ticket (blue)	12/31/2011	• Prior to 12/31/11, BART must discontinue sales of HVD tickets except as noted below; however, BART may continue accepting HVD tickets for fare payment after 12/31/2011. • BART may continue sales of HVD tickets for a limited period of time at seven My Transit Plus locations currently operating in BART stations. This exception shall remain in effect until 60 days after: (i) The Clipper® equivalent of HVD tickets becomes available through WageWorks and Edenred USA (parent company of Commuter Check); and (ii) The Clipper® Contractor completes the requirements in Section 2.3 of Clipper® Contract Change Order 122.
Senior magnetic stripe ticket (green)	12/31/2011	• Prior to 12/31/11, BART must discontinue sales of green tickets except as noted below; BART may continue accepting green tickets for fare payment after 12/31/2011. • BART may continue sales of green tickets at a limited number of existing sales locations. The number of locations and the length of time sales can continue is subject to mutual agreement by MTC and BART after public comment.

(table continues on following page)

Fare Media	Date for Ending Sales and/or Acceptance of Listed Prepaid Fare Media	Comments
Youth and disabled magnetic stripe ticket (red)	12/31/2011	• Prior to 12/31/11, BART must discontinue sales of red tickets except as noted below; BART may continue accepting red tickets for fare payment after 12/31/2011. • BART may continue sales of red tickets at a limited number of existing sales locations. The number of locations and the length of time sales can continue is subject to mutual agreement by MTC and BART after public comment.
Student magnetic stripe ticket (orange)	Requirement waived	Product not available on Clipper®. Recommend that BART align its definition of youth/student discount with all other operators in region and eliminate this fare product.

Caltrain will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Full Fare Monthly Pass	Transition done	
8-ride Ticket	Transition done	
Caltrain + Muni Monthly Pass	Transition done	
Eligible Discount Monthly Pass	Transition done	
8-ride Eligible Discount Ticket	Transition done	

Golden Gate Transit and Ferry will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
$25 Value Card	Transition done	
$50 Value Card	Transition done	
$75 Value Card	Transition done	

The fare products listed below are issued by Marin Transit, yet accepted on vehicles operated by Golden Gate Transit within Marin County. If MTC and Marin Transit reach agreement whereby Marin Transit begins to accept Clipper® as a fare payment method, each of the fare media listed below shall be converted to Clipper®-only availability within six months after implementation of a Clipper® version of such fare media.

- $18 Value Card
- $36 Value Card
- Marin Local 1-Day Pass
- Marin Local 7-Day Pass
- Marin Local 31-Day Pass
- Marin Youth Pass

San Francisco MTA will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Monthly Passes		
Adult BART/Muni Monthly Pass	Transition done	
Adult Muni Monthly Pass	Transition done	
Senior Muni Monthly Pass	Transition done	.
RTC/Disabled Monthly Pass	Transition done	
Youth Monthly Pass	Transition done	
Visitor/Cable Car		
1 Day Passport	Requirement waived	Product not currently available on Clipper® limited-use (LU) tickets. However, LUs are preferred implementation option.
3 Day Passport	Requirement waived	Product not currently available on Clipper® limited-use (LU) tickets. However, LUs are preferred implementation option.
7 Day Passport	Requirement waived	Product not currently available on Clipper® limited-use (LU) tickets. However, LUs are preferred implementation option.
Ticket Books/Tokens		
Adult Single Ride Ticket Book	Transition done	
Inter-Agency Transfers		
BART Two-Way Transfer	Transition done	
BART/Daly City Two-Way Transfer	3/1/12	
Golden Gate Ferry Two-Way Transfer	Transition done	
Transfers		
Bus Transfers	6/30/13	
Metro/Subway Transfers	Transition done	
ADA Transfers	Transition done	

SamTrans will transition these existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Local Monthly Pass	12/31/11	• 12/31/11 transition date subject to change if forthcoming Title VI assessment performed by MTC reveals any retailer deficiencies in specific locations that, in the opinion of MTC, need to be addressed prior to transition occurring. • SamTrans may continue to distribute paper form of this fare product through the county's social services agencies.
Local SF Monthly Pass	12/31/11	12/31/11 transition date subject to change if forthcoming Title VI assessment performed by MTC reveals any retailer deficiencies in specific locations that, in the opinion of MTC, need to be addressed prior to transition occurring.
Express Monthly Pass	12/31/11	12/31/11 transition date subject to change if forthcoming Title VI assessment performed by MTC reveals any retailer deficiencies in specific locations that, in the opinion of MTC, need to be addressed prior to transition occurring.
Eligible Discount Monthly Pass—senior/disabled	12/31/11	• 12/31/11 transition date subject to change if forthcoming Title VI assessment performed by MTC reveals any retailer deficiencies in specific locations that, in the opinion of MTC, need to be addressed prior to transition occurring. • SamTrans may continue to distribute paper form of this fare product through the county's social services agencies.
Youth Monthly Pass	12/31/11	• December 2011 date is when paper form of product is no longer available for purchase through retail outlets. SamTrans may continue to distribute paper form of this fare product through the county's social services agencies. • "Needy Family Youth Pass" may continue to be available in paper form through schools for eligible students only.

VTA will transition these existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Monthly Pass	6/30/2012	• Transition date subject to change if, by April 1, 2012, there are not at least 50 Clipper® vendors operational in VTA's service area, or MTC has not addressed any retailer deficiencies in specific locations based on Title VI assessment performed by MTC. • In such case, transition date will be the last day of the third month after conditions described above are met.
Monthly Express Pass	6/30/2012	Same comments as for Monthly Pass.
Day Pass Tokens	6/30/2012	Date is when product is no longer available for purchase through retail outlets.

If, 12 months after the VTA Day Pass Accumulator is available on Clipper, VTA has a Clipper® market penetration percentage rate lower than the weighted average of SFMTA's, AC Transit's, and SamTrans' Clipper® market penetration, then VTA will consider a fare discount that incentivizes use of Clipper®.

Other Operators

The following are general Clipper® implementation and fare media transition requirements for operators not yet operating Clipper®. Following MTC's approval of the Clipper® system as Revenue Ready for a given operator, MTC will work with the operator to identify more specific fare media transition plans. Unless otherwise approved by MTC, an operator shall (i) begin accepting Clipper® for fare payment by customers no more than two months following MTC's approval of the Clipper® system as Revenue Ready for the operator, and (ii) end acceptance of prepaid non-Clipper® fare media no more than one year following MTC's approval of the Clipper® system as Revenue Ready for the operator.

Appendix B-4
Maintenance of Existing Coordinated Services

The Commission's previously adopted Transit Coordination Implementation Plan (Resolution No. 3055) included a number of coordination programs that were not modified by the Transit Connectivity Plan. Of these, the Commission expects the transit operators to continue to support the following:

1. Regional Transit Connection (RTC) Discount Card Program – Provides identification cards to qualified elderly and disabled individuals for reduced fares on transit. Transit operators and MTC maintain memorandums of understanding about roles and responsibilities for program implementation. The RTC Discount Card is being incorporated into the Clipper® program
2. ADA Paratransit Eligibility Program – Consists of a regional application, a regional eligibility database administered by a transit agency on behalf of the region and universal acceptance across transit systems of all eligibility determinations. Transit operators have flexibility to tailor the application process to screen applicants to facilitate eligibility determinations.
3. Interagency ADA Paratransit Services – Establishes policies to promote a consistent approach to interagency paratransit passenger transfers (see Appendix A-4, Attachment 1).
4. Regional Transportation Emergency Management Plan – The Regional Transportation Emergency Management Plan (formerly know as the Trans Response Plan) is a framework to coordinate transit services during regional emergencies. Transit operators are required to participate in regional exercises to test the implementation of the plan. Transit agencies certify compliance through their annual State Transit Assistance (STA) funding claims process, and also address emergency coordination planning through their Short Range Transit Plans.
5. Regional Links/Express Bus/Feeder Bus Services – Regional Links include bus service across the Bay Bridge, Dumbarton Bridge, the San Mateo Bridge and the Richmond/San Rafael Bridge that has been incorporated into the Express Bus Services program funded with Regional Measure 2 (RM2), and will be monitored per RM2 requirements. Express Bus Services also include Owl Service which operates along the BART rail lines at night when BART is closed. Express feeder bus services to/from BART stations during peak periods are maintained through direct allocation of BART's STA funds to transit agencies as specified in the annual Fund Estimate. If STA is unavailable, BART's General Fund up to $2.5 million is available to support these services per existing agreement. If additional funding is needed, it will be subject to discussion on an annual basis.

Appendix B-4, Attachment 1
Requirements for Interagency ADA Paratransit Services

Note: Transit operators developed guidelines for interagency ADA paratransit services. MTC adapted these guidelines for the purpose of defining coordination requirements.

Consistent with the Americans with Disabilities Act (ADA) requirement to provide paratransit services that are complementary to fixed-route transit services, Bay Area transit operators have identified a transfer-oriented network of interagency paratransit services. Interagency paratransit trips may require a transfer between connecting paratransit providers at a location specified by the transit operator. The following regional requirements are intended to improve connections between paratransit services for both passengers and paratransit providers. The requirements establish regional protocol for how the system will operate as well as specify the responsibilities of paratransit providers to assure an efficient, user-friendly system.

1. All public transit agencies in the San Francisco Bay Area will honor the regional ADA Eligibility Process [as approved by transit agencies] when certifying an individual for ADA paratransit services.

2. Eligibility for an individual requesting interagency paratransit services will be verified through the ADA Paratransit Regional Eligibility Database.

3. Transit operators will develop and make available customer information on how to access and use interagency paratransit services. This information will be made readily available in accessible formats.

4. Interagency paratransit trips will usually require a transfer between connecting paratransit providers at a location specified by the transit operator. Transit operators will transfer passengers at designated transfer locations that, to the extent possible, are also used as fixed-route transfer sites. For operational efficiency or customer service quality, use of other transfer sites is not precluded. Operators will seek to establish transfer locations that are clean, safe, sheltered and well-lit with accessible telephones and restrooms nearby. Established interagency paratransit transfer locations on transit properties will be clearly marked with a consistent sign designed and adopted at the regional level.

5. For operational efficiency or customer service reasons, transit operators may:

    - transfer passengers to a connecting paratransit provider at a transfer location, including having the passenger wait without assistance until the connecting provider arrives; or
    - provide through-trip service into an adjoining transit agency's service area (not requiring a transfer); or

- provide transfer assistance to passengers at transfer points (waiting with the passenger until connecting provider arrives); and
- coordinate their schedules and dispatch procedures with connecting provider(s) on the day of service.

6. Coordinating Bay Area interagency paratransit reservations shall be the responsibility of paratransit providers. Subject to availability of rides, a single transit coordinator will be responsible to schedule an interagency paratransit trip (including round-trip service). For trips requiring coordination between only two transit operators, the operator in whose jurisdiction the trip originates will usually perform the function of trip coordinator to schedule the entire trip and to serve as a point of contact for passenger inquiries. For trips involving three or more paratransit providers, a regional trip coordinator may perform these functions.

7. Transit operators shall accept reservations for interagency paratransit trips according to their local advance reservation policies. When coordinating a trip, the shorter advance reservation period of the connecting agencies will apply. In some cases, the scheduling operator will be unable to determine the availability of a requested interagency paratransit trip until the shortest advance reservation period is open. If, due to differences in advance reservation periods, trip availability cannot be determined at the time the trip is requested, the scheduling operator will inform the passenger of when to call to complete the trip reservation process. In the meantime, the scheduling operator may book available legs of the requested trip according to local advance reservation policies.

8. Transit operators will charge a fare consistent with each individual operator's fare payment policy. All fares will be communicated to the passenger by the operator scheduling the first leg of the interagency paratransit trip at the time the ride is confirmed. Operators and MTC will work toward a regional fare payment method and/or regional fare policy for paratransit services.

APPENDIX A – 11

Regional Policies: Project Funding

Policies, Procedures and Project Selection Criteria
for Developing the 2014 Regional Transportation
Improvement Program (RTIP)

MTC Resolution No. 4118

Date: September 25, 2013
W.I.: 1515
Referred by: PAC

ABSTRACT

Resolution No. 4118

This resolution adopts the policies, procedures and project selection criteria for developing the 2014 Regional Transportation Improvement Program (RTIP) for the San Francisco Bay Area, for submission to the California Transportation Commission (CTC), consistent with the provisions of Senate Bill 45 (Chapter 622, Statutes 1997).

Further discussion of these actions is contained in the MTC Executive Director's Memorandum to the MTC Programming and Allocations Committee dated September 11, 2013.

Attachment 1 – Policies, Procedures and Project Selection Criteria for the 2014 RTIP (with attachments)

Attachment 2 – STIP Amendment / Extension Rules and Procedures

Date: September 25, 2013
W.I.: 1515
Referred by: PAC

RE: Adoption of 2014 Regional Transportation Improvement Program (RTIP) Program Policies, Procedures, and Project Selection Criteria

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4118

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC adopts, pursuant to Government Code Section 65080, a Regional Transportation Improvement Program (RTIP) when additional State Transportation Improvement Program funding is available, that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide transportation planning agencies, and local governments, policies, procedures and project selection criteria to be used in the development of the 2014 RTIP, to include projects programmed in fiscal years 2014-15 through 2018-19; and

WHEREAS, using the process and criteria set forth in the Attachments to this resolution, attached hereto as though set forth at length, a set of capital priorities for the 2014 Regional Transportation Improvement Program (RTIP) will be developed; and

WHEREAS, the 2014 RTIP will be subject to public review and comment; now, therefore, be it

RESOLVED, that MTC approves the process and criteria to be used in the evaluation of candidate projects for inclusion in the 2014 RTIP, as set forth in Attachment 1 of this resolution, and be it further

RESOLVED, that MTC approves the STIP Amendment / Extension Rules and Procedures to be used in processing STIP amendment and extension requests, as set forth in Attachment 2 of this resolution, and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on September 25, 2013.

2014
Regional Transportation Improvement Program

Policies, Procedures, and Project Selection Criteria

September 25, 2013

MTC Resolution No. 4118
Attachment 1

Metropolitan Transportation Commission
Programming and Allocations Section
http://www.mtc.ca.gov/funding/

2014 RTIP
Regional Transportation Improvement Program
Policies, Procedures and Project Selection Criteria
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2014 Regional Transportation Improvement Program (RTIP)
Policies, Procedures and Project Selection Criteria

Background

The State Transportation Improvement Program (STIP) provides funding for a significant number of transportation projects around the State. As the Regional Transportation Planning Agency (RTPA) for the Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for developing regional project priorities for the STIP for the nine counties of the Bay Area.

The Regional Transportation Improvement Program (RTIP) is the region's proposal to the State for STIP funding, due to the California Transportation Commission (CTC) by December 15, 2013. The 2014 STIP will include programming for the five fiscal years from 2014-15 through 2018-19. The region may request advancement of future county shares.

2014 RTIP Development

The following principles will frame the development of MTC's 2014 RTIP, the region's contribution to the 2014 STIP.

- MTC will work with CTC staff, CMA's, transit operators, Caltrans, and project sponsors to prepare the 2014 STIP.

- Investments made in the RTIP must carry out the objectives of the Regional Transportation Plan (RTP), and be consistent with its improvements and programs.

- MTC may choose to consult with counties to consider programming a portion of their RTIP shares for projects that will meet a regional objective.

- MTC will continue to work with CMAs, transit operators, Caltrans and project sponsors to aggressively seek project delivery solutions. Through the use of AB 3090 authority, GARVEE financing, and federal, regional, and local funds and funding exchanges, MTC will work with its transportation partners to deliver projects in the region.

- Each county's project list must be constrained within the county share limits unless arrangements have been made with other counties to aggregate the county share targets. MTC continues to support aggregation of county share targets to deliver ready-to-go projects in the region. CMAs that submit a list that exceeds their county share must identify and prioritize those projects that exceed the county share target.

Key Policies and Guidance

The following policies serve as the primary guidance in the development of the 2014 RTIP.

Key Eligibility Policies

Consistency with Regional and Local Plans

RTP Consistency

Plan Bay Area, the 2013 Regional Transportation Plan (RTP), lays out a vision of what the Bay Area transportation network should look like in 2040. The purpose of Plan Bay Area is to encourage and promote the safe and efficient management, operation and development of a regional intermodal transportation system that will serve the mobility needs of people and goods. Programming policies governing the STIP and other flexible, multi-modal discretionary funding sources such as the federal Surface Transportation Program (STP), Congestion Mitigation and Air Quality Improvement (CMAQ), and Regional Transportation Improvement Program (RTIP) funds must be responsive to the strategies and goals of the Plan. New projects submitted for RTIP consideration must include a statement addressing how the project meets the strategies and goals set forth in the RTP.

Local Plans

Projects included in the RTIP must be included in a Congestion Management Plan (CMP) or Capital Improvement Program (CIP).

CTC Guidance

The California Transportation Commission (CTC) 2014 STIP guidelines were adopted on August 6, 2013. The MTC 2014 RTIP Policies, Procedures and Project Selection Criteria includes all changes in STIP policy implemented by the CTC. The entire CTC STIP Guidelines are available on the internet at: http://www.dot.ca.gov/hq/transprog/ocip.htm. All CMAs and project sponsors are required to follow the MTC and CTC STIP guidelines in the development and carrying out of the 2014 RTIP/STIP.

2014 RTIP Development Schedule

Development of the 2014 RTIP under these procedures will be done in accordance with the schedule outlined in Attachment A of these policies and procedures.

RTIP County Share Targets

Attachment B of the Policies and Procedures provides the county share targets for each county for the 2014 RTIP. Each county's project list, due to MTC in draft form by October 16, 2013, should be constrained within these county share limits; however, there may be limited opportunities to advance future county shares. It is expected that MTC's RTIP will be developed using a region-wide aggregate of county-share targets and advancement of future county shares.

Project Eligibility

SB 45 (Chapter 622, Statutes 1997) considerably expanded the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

RTIP Project Solicitation

Each county congestion management agency (CMA), or countywide transportation planning agency for those counties that have opted out of the CMA requirement, is responsible for soliciting projects for its county share of the RTIP where the county target is greater than $0. The CMA must notify all eligible project sponsors, including Caltrans and transit operators, of the process and deadlines for applying for RTIP funding.

Public Involvement Process

MTC is committed to having the CMAs as full partners in development of the RTIP. That participation likewise requires the full commitment of the CMAs to a broad, inclusive public involvement process consistent with MTC's Public Participation Plan (available online at http://www.mtc.ca.gov/get_involved/participation_plan.htm) and federal regulations, including Title VI. Federal regulations call for active outreach strategies in any metropolitan planning process, and opportunities for the public to get involved are important with the project selection process for the RTIP.

RTIP Projects in the Transportation Improvement Program (TIP)

In response to state and federal requirements, RTIP funds must be programmed in the TIP prior to seeking a CTC allocation. In addition, a federal authorization to proceed (E-76) request must be submitted simultaneously with the RTIP allocation request to Caltrans and the CTC when the request includes federal funds. In the 2014 RTIP, all projects are subject to be a mix of federal and state funds, and require a federal authorization to proceed. Additionally, all STIP projects are considered regionally significant and must have funds escalated to the year of expenditure, in accordance with federal regulations.

Regional Policies

ARRA RTIP Backfill Programming

In order to expedite obligation and expenditure of American Recovery and Reinvestment Act of 2009 (ARRA) funds, and to address the State's lack of funding, MTC programmed $31 million in ARRA funds to backfill unavailable STIP funds for the Caldecott Tunnel Fourth Bore project. Of the $31 million, $29 million came from Contra Costa's STIP county share, and $2 million from Alameda's STIP county share. As part of MTC Resolution No. 3925, First Cycle Federal New Act Program, these funds were to be directed to Freeway Performance Initiative (FPI) projects. These amounts were not programmed by the CTC in the 2010 RTIP due to insufficient program capacity, while $24 million (in Contra Costa's share) was programmed in the 2012 RTIP to the I-680 Freeway Performance Initiative (FPI) project. MTC will have discretion to program the remaining $7 million in the 2014 RTIP, in freed up RTIP capacity from these two counties. As a result, Contra Costa's available programming capacity will be reduced by $5 million, and Alameda's available programming capacity will be reduced by $2 million. The programming of these funds to regional projects will have priority for programming in the first two years of the 2014 RTIP.

San Francisco County Programming Priorities

MTC Resolution No. 4035, Revised, which sets forth the second cycle of federal Surface Transportation Program/Congestion Mitigation and Air Quality Improvement (STP/CMAQ) funding, advanced $34 million in federal funds for the Doyle Drive Replacement / Presidio Parkway project. In exchange, $34 million San Francisco's STIP share shall be reserved for regional Freeway

Performance Initiative (FPI)/Express Lanes projects. San Francisco shall commit these funds after PPM programming and the remaining $88 million commitment to the Central Subway project.

Regional Planning, Programming, and Monitoring (PPM) funds

Passage of Assembly Bill 2538 (Wolk, 2006) allows all counties to program up to 5% of their county share to Planning, Programming, and Monitoring (PPM) purposes in the STIP. Attachment B gives amounts of PPM amounts each county may program in FY 2016-17, FY 2017-18, and FY 2018-19. There is no new PPM in FY 2014-15 and FY 2015-16. As agreed with the CMAs, MTC will program a portion of each county's PPM for regional PPM activities each year, with the new regional PPM amounts for FY 2017-18 and FY 2018-19 shown in Attachment B. MTC's currently programmed amounts for regional PPM activities in FY 2014-15, FY 2015-16, and FY 2016-17, will not change in the 2014 RTIP.

Caltrans Project Nomination

Senate Bill 1768 (Chapter 472, Statutes 2002) authorizes the Department of Transportation to nominate or recommend projects to be included in the RTIP to improve state highways using regional transportation improvement funds. To be considered for funding in the RTIP, the Department must submit project nominations directly to the applicable CMA (or countywide transportation planning agency for those counties that have opted out of the CMA requirement). The Department should also identify any additional state highway improvement needs within the county that could be programmed within the 3 years beyond the end of the current STIP period. The Department must submit these programming recommendations and identification of state highway improvement needs to the CMA within the timeframe and deadline prescribed by the applicable CMA. In addition, the Department must also provide a list of projects and funding amounts for projects currently planned on the State Highway System over the 2014 STIP period to be funded with local and regional funds.

Title VI Compliance

Investments made in the RTIP must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, disability, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. The CMA must consider equitable solicitation and selection of project candidates in accordance with federal Title VI and Environmental Justice requirements.

Intelligent Transportation Systems Policy

In collaboration with federal, state, and local partners, MTC is developing the regional Intelligent Transportation Systems (ITS) architecture. The San Francisco Bay Area Regional ITS Plan is a roadmap for transportation systems integration in the Bay Area over the next 10 years. The plan provides methods to make the most out of technological advances by developing a strategy for deployment and a framework, or architecture, for linking the region's transportation systems.

MTC, state and federal agencies require projects funded with federal highway trust funds to meet applicable ITS architecture requirements. Since the 2006 RTIP, MTC requires that all applicable projects conform to the regional ITS architecture. Through the on-line Fund Management System

(FMS) application process, 2014 RTIP project sponsors will identify the appropriate ITS category, if applicable. Information on the regional ITS architecture can be found at: http://www.mtc.ca.gov/planning/ITS/index.htm.

MTC Resolution No. 4104 Compliance – Traffic Operations System Policy

All major new freeway projects included in the Transportation 2030 Plan and subsequent regional transportation plans shall include the installation and activation of freeway traffic operations system (TOS) elements to effectively operate the region's freeway system and coordinate with local transportation management systems. MTC requires that all applicable RTIP projects conform to the regional policy. For purposes of this policy, a major freeway project is a project that adds lanes to a freeway, constructs a new segment of freeway, upgrades a segment to freeway status, modifies a freeway interchange, modifies freeway ramps, or reconstructs an existing freeway. A project is considered new if it did not have an approved Project Study Report (PSR) or applicable scoping document by December 2004, or did not have funds programmed for the construction phase in the STIP as of December 2004. TOS elements may include, but are not limited to, changeable message signs, closed-circuit television cameras, traffic monitoring stations and detectors, highway advisory radio, and ramp meters.

As set forth in MTC Resolution No. 4104, any jurisdiction in which MTC finds that ramp metering and TOS elements are installed but not activated or in operation, MTC will consider suspending fund programming actions for STIP funding until the Ramp Metering Plan is implemented and the ramp meters and related TOS elements are activated and remain operational, and MTC deems the requirements of the regional TOS policy have been met. Furthermore, in any county in which a jurisdiction fails to include the installation and activation of TOS elements in an applicable freeway project, including ramp metering as identified in the Ramp Metering Plan, projects to install and activate the appropriate ramp meters and TOS elements omitted from the project shall have priority for programming of new STIP funding for that county.

Freeway Performance Initiative and Express Lane (HOT) Network

All projects on the state highway system must demonstrate a scope and funding plan that includes Traffic Operations System (TOS) elements, consistent with the section above. Projects must also include any additional traffic operations recommendations resulting from the Freeway Performance Initiative (FPI). Additionally, projects on the state highway system proposed for programming in the 2014 RTIP should be consistent with the planned Regional Express Lane (High-Occupancy Toll) Network and the FPI. For new RTIP funding commitments on the Regional Express Lane Network, the CMAs should work with MTC to determine the appropriateness of advance construction elements (such as structures and conduit) to support the future conversion of HOV lanes to express lanes if identified.

Bay Area Interregional Transportation Improvement Program (ITIP) Priorities

In order to support Caltrans District 4 in successfully programming ITIP projects in the Bay Area, MTC worked with the CMAs and District to formulate four guiding principles for prioritizing ITIP projects. The principles are:

- Support high cost-benefit ratio projects on the State Highway System (such as Freeway Performance Initiative (FPI) projects)

- Support High-Occupancy Vehicle (HOV) lane gap closures, with emphasis on those that support the Regional Express Lane Network.
- Support high speed rail early investments and intercity/commuter rail
- Support future goods movement and trade corridors

These principles are consistent with Plan Bay Area assumptions. With CMA and Caltrans input, MTC will follow these principles to establish a list of regionally-supported projects for ITIP consideration. The prioritized list of ITIP projects may be adopted as part of the 2014 RTIP adoption, and submitted to Caltrans. The list may be updated with each RTIP cycle going forward.

MTC Resolution No. 3866 Compliance – Transit Coordination Implementation Plan

On February 24, 2010, MTC approved Resolution No. 3866, which documents coordination requirements for Bay Area transit operators to improve the transit customer experience when transferring between transit operators and in support of regional transit projects. *If a transit operator fails to comply with Res. 3866 requirements, MTC may withhold, restrict or reprogram funds or allocations*. Res. 3866 supersedes MTC's earlier coordination plan, Res. 3055.

One goal of MTC staff in organizing Res. 3866 was to incorporate some detailed project information through reference rather than directly in the resolution in order to facilitate future updates of project-specific requirements. For this reason, some documents are referenced in Res. 3866 and available for download at http://www.mtc.ca.gov/planning/tcip. Transit operators must comply with these more detailed documents in order to comply with Res. 3866. MTC may periodically update these documents in consultation with transit agencies.

Accommodations for Bicyclists, Pedestrians and Persons with Disabilities

Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. Of particular note is Caltrans Deputy Directive 64 which stipulates: "pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products." In addition, MTC's Resolution No. 3765 requires project sponsors to complete a checklist that considers the needs of bicycles and pedestrians for applicable projects. MTC's Regional Bicycle Plan, adopted as a component of the 2001 RTP, requires that "all regionally funded projects consider enhancement of bicycle transportation consistent with Deputy Directive 64".

In selecting projects for inclusion in the RTIP, the CMAs and project sponsors must consider federal, state and regional policies and directives regarding non-motorized travel, including, but limited to, the following:

Federal Policy Mandates

The Federal Highways Administration Program Guidance on bicycle and pedestrian issues makes a number of clear statements of intent, and provides a best practices concept as outlined in the US DOT "Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure." (http://www.fhwa.dot.gov/environment/bikeped/Design.htm)

State Policy Mandates

The California Complete Streets Act (AB 1358) of 2008 encourages cities to make the most efficient use of urban land and transportation infrastructure, and improve public health by encouraging physical activity to reduce vehicle miles traveled (VMT). Government Code Section 65302(b)(2)(A) and (B) states that any substantial revision of the circulation element of the General Plan to consider all users.

California Government Code Section 65089(b)(1)(B)(5) requires that the design, construction and implementation of roadway projects proposed for funding in the RTIP must consider maintaining bicycle access and safety at a level comparable to that which existed prior to the improvement or alteration.

Caltrans Deputy Directive 64 (http://www.dot.ca.gov/hq/tpp/offices/bike/sites_files/DD-64-R1_Signed.pdf), states: "the Department fully considers the needs of non-motorized travelers (including pedestrians, bicyclists, and persons with disabilities) in all programming, planning, maintenance, construction, operations, and project development activities and products. This includes incorporation of the best available standards in all of the Department's practices. The Department adopts the best practices concept in the US DOT Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure."

Regional Policy Mandates

All projects programmed during the RTIP must consider the impact to bicycle transportation, pedestrians and persons with disabilities, consistent with MTC Resolution No. 3765. The Complete Streets Checklist (also known as "Routine Accommodations Checklist") is incorporated as Part 5 of the Project Application. Furthermore, it is encouraged that all bicycle projects programmed in the RTIP support the Regional Bicycle Network. Guidance on considering bicycle transportation can be found in MTC's 2009 Regional Bicycle Plan (a component of Transportation 2035) and Caltrans Deputy Directive 64. MTC's Regional Bicycle Plan, containing federal, state and regional polices for accommodating bicycles and non-motorized travel, is available on MTC's Web site at: http://www.mtc.ca.gov/planning/bicyclespedestrians/.

State Policies

Grant Anticipation Revenue Vehicle (GARVEE) Bonding

Chapter 862 of the Statutes of 1999 (SB 928) authorizes the State Treasurer to issue GARVEE bonds and authorizes the California Transportation Commission (CTC) to select projects for accelerated construction from bond proceeds. Bond repayment is made through annual set asides of the county share of future State Transportation Improvement Program (STIP) funds. Bond repayments are typically made over several STIP programming periods.

In accordance with state statute and the CTC GARVEE guidelines, GARVEE debt repayment will be the highest priority for programming and allocation within the particular county Regional Improvement Program (RIP) share until the debt is repaid. In the event that the RIP county share balance is insufficient to cover the GARVEE debt service and payment obligations, the RIP county share balance for that particular county will become negative through the advancement of future RIP county share. Should a negative balance or advancement of capacity be unattainable, then funding

for other projects using RIP county share within that particular county would need to be reprogrammed or deleted, to accommodate the GARVEE debt service and payment obligations.

The CTC is responsible for programming the funds, derived from federal sources, as GARVEE debt service and the State Treasurer is responsible for making the debt service payments for these projects. In the 2014 STIP, CTC will consider new GARVEE projects via STIP amendment only, and not during the 2014 STIP process.

AB 3090 Project Replacement or Reimbursement

AB 3090 (Statutes of 1992, Chapter 1243) allows a local jurisdiction to advance a project included in the STIP to an earlier fiscal year through the use of locally-controlled funds. With the concurrence of the appropriate CMA, MTC, the California Transportation Commission and Caltrans, one or more replacement state transportation project shall be identified and included in the STIP for an equivalent amount and in the originally scheduled fiscal year or a later year of the advanced project. Alternately, the advanced project can be reimbursed in the originally scheduled fiscal year or a later year.

Projects approved for AB 3090 consideration must award a contract within six months of the CTC approval. Section 2.c of the AB 3090 Policy, adopted by the CTC in April 2003 states, "The local agency commits to award a contract or otherwise begin delivery of the project component within 12 months of the Commission's approval, with the understanding that the arrangement may be cancelled if that condition is not met." Note that the CTC adopted a new 6 month award deadline in June 2006, and the 6 month deadline supercedes the April 2003 language. This is further strengthened in the 2012 STIP Guidelines amendment regarding AB 3090s, approved by CTC on June 27, 2012.

The allocation of AB 3090 reimbursement projects is the highest priority in the MTC region. In the 2014 STIP, CTC will consider new AB 3090 requests via STIP amendment only, and not during the 2014 STIP process. Sponsors thinking of using AB 3090s for their projects should contact MTC and CTC for inclusion in the AB 3090 Plan of Projects, which is updated on an as-needed basis.

SB 184 Advance Expenditure of Funds

SB 184 (Statutes of 2007, Chapter 462) authorizes a regional or local entity to expend its own funds for any component of a transportation project within its jurisdiction that is programmed in the current fiscal year and for which the Commission has not made an allocation. The amount expended would be authorized to be reimbursed by the state, subject to annual appropriation by the Legislature, if (1) the commission makes an allocation for, and the department executes a fund transfer agreement for, the project during the same fiscal year as when the regional or local expenditure was made; (2) expenditures made by the regional or local entity are eligible for reimbursement in accordance with state and federal laws and procedures; and (3) the regional or local entity complies with all legal requirements for the project, as specified.

MTC discourages the use of SB 184 since allocation of funds is not guaranteed. Therefore, sponsors are exposing themselves to the risk of expending local funds with no guarantee that the STIP funds will be allocated.

Should a sponsor want to proceed with an SB 184 request, the sponsor must notify the CMA, MTC and Caltrans in writing on agency letterhead in accordance with Caltrans Local Assistance procedures.

AB 608 Contract Award Provisions

AB 608 authorizes the adjustment by the CTC of a programmed project amount in the STIP if the Caltrans-sponsored construction contract award amount for a project is less than 80% of the engineer's final estimate, excluding construction engineering.

The CTC will not approve any AB 608 request after 120 days from the contract award. Sponsors intending to take advantage of AB 608 project savings must notify Caltrans and the CMA within 30 days of the contract award, to ensure the request to the CTC can be processed in time to meet the CTC's deadline.

Limitations on State-Only Funding

In 2011, the State adopted AB 105, which eliminates the sales tax on gasoline and replaces it with a commensurate increase in the excise tax on gasoline. Excise taxes are deposited into the State Highway Account, which also includes federal funds. Therefore, projects programmed in the 2014 STIP will receive a combination of state and federal funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules, unless they are granted a state-only funding exception by the CTC.

Article XIX Compliance for Transit Projects

Article XIX of the California State Constitution restricts the use of State Highway Account (SHA) funds on transit projects. In order for existing and new projects to be programmed in the STIP, the project sponsor or the CMA must provide documentation that verifies the STIP transit project is either 1) eligible for federal funds, or 2) meets Article XIX requirements that only fixed guideway projects in a county that has passed a measure authorizing the use of SHA funds on transit projects may use SHA funds. Also refer to the next section regarding "Matching Requirements."

Matching Requirements on Highway and Transit Projects

A local match is not required for projects programmed in the STIP, except under special situations affecting projects subject to Article XIX restrictions established by the State Constitution. Article XIX limits the use of state revenues in the State Highway Account (SHA) to state highways, local roads, and fixed guideway facilities. Other projects, such as rail rolling stock and buses, are not eligible to receive state funds from the SHA. Article XIX restricted projects must therefore be funded with either a combination of federal STIP funding and matching STIP funds from the Pubic Transportation Account (PTA), or with 100 percent federal STIP funds in the State Highway Account (which requires a non-federal local match of 11.47% from a non-STIP local funding source or approved use of toll credits).

Project sponsors wishing to use STIP PTA funds as matching funds for Article XIX restricted projects must note such a request in the "Special Funding Conditions" section of the RTIP Application Nomination sheet, and obtain approval from Caltrans through the state-only approval process as previously described. Otherwise, the CTC may assume any Article XIX restricted STIP project will be funded with 100 percent federal funds.

Santa Clara GARVEE Debt Service

In accordance with MTC Resolution No. 3538, the debt service for the I-880/Coleman Avenue, SR-87 HOV Lanes (SR 85 to I-280), and the SR-87 HOV Lanes (I-280-Julian Street) projects will be paid from the Santa Clara County RIP county share balance. In the 2014 RTIP, all Santa Clara GARVEE commitments have been fully programmed, and no new GARVEE commitments are due from Santa Clara's new 2014 RTIP county shares.

Transportation Enhancement (TE) Funding

Elimination of TE Funds in the 2014 STIP

In 2012, Congress passed and the President signed into law the Moving Ahead for Progress in the 21st Century (MAP-21) legislation to replace the former federal transportation act. MAP-21 eliminates Transportation Enhancement (TE) as a source of funding, and replaces it with Transportation Alternatives (TA) funds. The State combined various alternative transportation funding, including the TA program, into a new Active Transportation Program (ATP).

The 2014 STIP will not contain any TE or TA funds. TE projects still programmed in the 2014 STIP may remain in the STIP using non-TE funds, if eligible for STIP federal or state-only funds.

Treatment TE Reserves and Regional TE Projects

Due to the elimination of TE funds in the STIP, all TE Reserves programmed in the STIP must be deleted. TE Reserves attributed to the County must be deleted; the freed up TE Reserve funding may be used to augment a county's programmable target. However, TE Reserves attributed to MTC remain under MTC's discretion, and may not be used to augment a county's target.

The Gateway Park project, programmed as a regional TE project in the 2012 STIP, will remain programmed in the 2014 STIP using federal funds.

General Guidance

Project Advancements

If a project or project component is ready for implementation earlier than the fiscal year that it is programmed in the STIP, the implementing agency may request an allocation in advance of the programmed year. The CTC will consider making advanced allocations based on a finding that the allocation will not delay availability of funding for other projects programmed in earlier years than the project to be advanced and with the approval of the responsible regional agency if county share funds are to be advanced. Project advancements are unlikely during the 2014 STIP period. In project and financial planning, sponsors should not expect the CTC to advance any projects.

Programming to Reserves

The counties and the region may propose to leave county share STIP funds unprogrammed for a time to allow adequate consideration of funding options for future projects. The CTC particularly encourages Caltrans and the regional agencies to engage in early consultations to coordinate their ITIP and RTIP proposals for such projects. Counties intending to maintain an unprogrammed balance of its county share for future program amendments prior to the next STIP must include a statement of the intentions for the funds, including the anticipated use of the funds, as well as the amount and timing of the intended STIP amendment(s). However, access to any unprogrammed

balance is subject to availability of funds, and is not expected to be approved by the CTC until the next STIP programming cycle.

Countywide RTIP Listing

By October 16, 2013, each county Congestion Management Agency or countywide transportation planning agency must submit to MTC a draft proposed countywide RTIP project listing showing the proposed programming of county shares. The final list is due to MTC by November 7, 2013, and must include the final project applications for any new projects added to the STIP (or any significantly revised existing STIP projects) and appropriate project level performance measure analysis.

Project Screening Criteria, Including Readiness

In addition to the CTC Guidelines, all projects included in the 2014 RTIP must meet all MTC project-screening criteria listed in Attachment C of this guidance. Of utmost importance are the project readiness requirements.

RTIP Applications

Project sponsors must complete an application for each new project proposed for funding in the RTIP, consisting of the items included in Attachment D of this guidance. In addition to MTC's Fund Management System (FMS) application, project sponsors must use the Project Programming Request (PPR) forms provided by Caltrans for all projects. CMAs should submit PPRs for all projects (including existing projects with no changes) on the revised form provided by Caltrans. The nomination sheet must be submitted electronically for upload into the regional and statewide databases. Existing projects already programmed in the STIP with proposed changes should still submit "Part 1: Resolution of Local Support" of Attachment D, as well as propose an amendment in MTC's FMS, and submit both electronically and in hard copy a revised PPR provided by Caltrans.

STIP Performance Measures: Regional and Project-Level Analyses

The CTC continues to require performance measures into the RTIP and ITIP review process for the 2014 RTIP. According to the STIP guidelines, a regional, system-level performance report must be submitted along with the RTIP submission. MTC staff will compile this report, focusing on applying the measures at the Regional Transportation Plan (RTP) level.

In addition, the 2014 STIP Guidelines require a project-level performance measure evaluation on all projects with total project costs over $50 million or over $15 million in STIP funds programmed. The project-level evaluation should address performance indicators and measures identified in Table A of the 2014 STIP Guidelines (see Attachment D-4). The evaluation should also include a Caltrans-generated benefit/cost estimate and estimated impacts the project will have on the annual cost of operating and maintaining the state's transportation system. The project-level evaluation must also be completed, if it has not already, on existing STIP projects with construction programmed that exceed $50 million in total project cost/$15 million in STIP programming, and have had CEQA completed after December 2011. The CMAs are required to submit the project-level performance measures to MTC by the final application due date.

Completed Project Reporting
The 2014 STIP Guidelines require a report on all RTIP projects over $20 million in total project cost completed between the adoption of the RTIP and the adoption of the previous RTIP (from December 2011 to December 2013). The report must include a summary of the funding plan and programming/allocation/expenditure history, as well as a discussion of project benefits that were anticipated prior to construction compared with an estimate of the actual benefits achieved. The CMAs are required to submit the completed project reporting information to MTC by the final application due date.

Regional Projects
Applications for projects with regionwide or multi-county benefits should be submitted to both MTC and the affected county CMAs for review. Regional projects will be considered for programming in the context of other county project priorities. MTC staff will work with the interested parties (CMAs and project sponsors) to determine the appropriate level of funding for these projects and negotiate county contributions of the project cost. County contributions would be based on population shares of the affected counties, or other agreed upon distribution formulas.

85-115% Adjustments
MTC may, pursuant to Streets and Highways Code Section 188.8 (k), pool the county shares within the region, provided that each county shall receive no less than 85 percent and not more than 115 percent of its county share for any single STIP programming period and 100 percent of its county share over two STIP programming cycles.

MTC may recommend use of the 85%-115% rule provided for in SB 45 to ensure, as needed, that the proper scope of projects submitted for programming can be accommodated. MTC will also work with CMAs to recommend other options, such as phased programming across STIP cycles, to ensure that sufficient funding and concerns such as timely use of funds are adequately addressed.

MTC Resolution No. 3606 Compliance – Regional Project Delivery Policy
SB 45 established strict timely use of funds and project delivery requirements for transportation projects programmed in the STIP. Missing critical milestones could result in deletion of the project from the STIP, and a permanent loss of the funds to the county and region. Therefore, these timely use of funds deadlines must be considered in programming the various project phases in the STIP. While SB 45 provides some flexibility with respect to these deadlines by allowing for deadline extensions under certain circumstances, the CTC is very clear that deadline extensions will be the exception rather than the rule. MTC Resolution No. 3606, Revised, details the Regional Project Delivery Policy for Regional Discretionary Funding, which may be more restrictive than the State's delivery policy. See Attachment 2 to MTC Resolution No. 4118 for additional extension and amendment procedures.

Allocation of Funds - Requirements
To ensure there is no delay in the award of the construction contract (which CTC guidelines and MTC Resolution No. 3606 require within six months of allocation), STIP allocation requests for the construction phase of federally-funded projects must be accompanied with the complete and accurate Request for Authorization (RFA) package (also known as the E-76 package). Concurrent submittal of the CTC allocation request and the RFA will minimize delays in contract award. Additionally, for the

allocation of any non-environmental phase funds (such as for final design, right of way, or construction), the project sponsor must demonstrate that both CEQA and NEPA documents are completed and certified for federalized projects.

Notice of Cost Increase

For projects with a total estimated cost over $25 million, the implementing agency must perform quarterly project cost evaluations. If a cost increase greater than 10 percent of the total estimated cost of the particular phase is identified, the implementing agency must notify and submit updated STIP Project Programming Request (PPR) form to the appropriate CMA and MTC. In the event that a project is divided into sub-elements, the implementing agency will include all project sub-elements (i.e. landscaping, soundwalls, adjacent local road improvements) in the quarterly cost evaluation.

Early notification of cost increases allows the CMA and MTC to assist in developing strategies to manage cost increases and plan for future county share programming.

Cost Escalation for Caltrans-Implemented Projects

Recently, CTC has been very critical of unexpected cost increases to projects funded by the STIP. In order to ensure that the amounts programmed in the STIP are accurate, MTC encourages the CMAs to consult with Caltrans and increase Caltrans project costs by an agreed-upon escalation rate if funds are proposed to be shifted to a later year. This will currently only apply to projects implemented by Caltrans.

Notice of Contract Award

Caltrans has developed a procedure (Local Programs Procedures LPP-01-06) requiring project sponsors to notify Caltrans immediately after the award of a contract. Furthermore, Caltrans will not make any reimbursements for expenditures until such information is provided. Project sponsors must also notify MTC and the appropriate CMA immediately after the award of a contract. To ensure proper monitoring of the Timely Use of Funds provisions of SB 45, project sponsors are required to provide MTC and the county CMA with a copy of the LPP-01-06 "Award Information for STIP Projects – Attachment A" form, when it is submitted to Caltrans. This will assist MTC and the CMA in maintaining the regional project monitoring database, and ensure accurate reporting on the status of projects in advance of potential funding lapses. In accordance with CTC and Caltrans policies, construction funds must be encumbered in a contract within six months of allocation.

METROPOLITAN TRANSPORTATION COMMISSION 2014 Regional Transportation Improvement Program Development Schedule (Subject to Change) September 5, 2013	
March 5, 2013	Caltrans presentation of draft STIP Fund Estimate Assumptions (CTC Meeting – SF)
May 7, 2013	CTC adoption of STIP Fund Estimate Assumptions (CTC Meeting – Los Angeles)
June 11, 2013	Caltrans presentation of the draft STIP Fund Estimate and draft STIP Guidelines (CTC Meeting – Sacramento)
June 17, 2013	Partnership Technical Advisory Committee (PTAC) / Programming and Delivery Working Group (PDWG) discussion and review of initial issues and schedule for 2014 RTIP
June 28, 2013	Governor signs State Budget
July 15, 2013	PTAC and PDWG review of proposed RTIP Policies and Procedures
July 18, 2013	CTC holds STIP Fund Estimate Workshop and STIP Guidelines Hearing (Sacramento)
August 6, 2013	CTC adopts STIP Fund Estimate and STIP Guidelines (CTC Meeting – San Diego)
September 1, 2013	Caltrans STIP project cost increase and Caltrans-identified needs information due to MTC
September 4, 2013	Draft RTIP Policies and Procedures published online and emailed to stakeholders for public comment
September 11, 2013	MTC Programming and Allocations Committee (PAC) scheduled review and recommendation of final proposed RTIP Policies and Procedures
September 25, 2013	MTC Commission scheduled adoption of RTIP Policies and Procedures
October 16, 2013	**Draft Project Listings Due:** CMAs submit to MTC, RTIP projects summary listings and identification of projects requiring project-level performance measure analysis. Deadline to submit Complete Streets Checklist for new projects.
October 21, 2013	PTAC scheduled review of draft RTIP
November 7, 2013	**Final Complete Applications Due:** Final Project Programming Request (PPR) forms due to MTC. Final RTIP project listing, project-level performance measure analysis, completed project reports, and explanation of unaddressed Caltrans needs due to MTC. Final PSR (or PSR Equivalent), Resolution of Local Support, and Certification of Assurances due to MTC.
December 4, 2013	Draft RTIP scheduled to be available for public review
December 11, 2013	PAC scheduled review of RTIP and referral to Commission for approval
December 16, 2013	2014 RTIP due to CTC (PAC approved project list will be submitted)
December 18, 2013	**2014 RTIP Adoption:** MTC Commission scheduled approval of 2014 RTIP (Full RTIP to be transmitted to CTC within one week of Commission approval)
January 30, 2014	CTC 2014 STIP Hearing – Northern California (Location TBD)
February 4, 2014	CTC 2014 STIP Hearing – Southern California (Location TBD)
February 28, 2014	CTC Staff Recommendations on 2014 STIP released
March 20, 2014	**2014 STIP Adoption:** CTC adopts 2014 STIP (CTC Meeting – Orange County)

Shaded Area – Actions by Caltrans or CTC

MTC Resolution No. 4118
Attachment 1-B

2014 STIP Fund Estimate County Targets

8/6/2013

Metropolitan Transportation Commission

All numbers in thousands

Table 1: County Share Targets

	a	b	c	a+b+c=d	e	d+e=f
	FY 2017-18 FY 2018-19 New Distrib.	2012 STIP Carryover Balance	Lapses and Expired TE Reserve*	2014 STIP Net Capacity	ARRA Backfill (Caldecott)	2014 STIP CMA Program Capacity
Alameda	30,031	2,000	0	32,031	(2,000)	30,031
Contra Costa	20,552	5,000	1,486	27,038	(5,000)	22,038
Marin	5,617	(39,820)	245	(33,958)		0
Napa	3,698	2,678	497	6,873		6,873
San Francisco	15,241	(2,827)	0	12,414		12,414
San Mateo	15,511	3,728	2,964	22,203		22,203
Santa Clara	35,676	(19,262)	2,518	18,932		18,932
Solano	9,308	1,256	0	10,564		10,564
Sonoma	11,444	(21,840)	1,204	(9,192)		0
Bay Area Totals	147,078	(69,087)	8,914	86,905	(7,000)	123,055

Note: New County Share Total is the sum of unprogrammed balances, lapses, and new capacity for FY 2017-18 and FY 2018-19. Counties with negatives have a "$0" new share/capacity.

* Prior year lapsed funds returned to county share, and County Share TE Reserve now expired.

Table 2: Planning, Programming, and Monitoring Amounts FY 2016-17, FY 2017-18, and FY 2018-19

	g	h	g-h=i	j	i-j	f-i
	PPM Limit FY 2016-17 FY 2017-18 FY 2018-19	Currently Programmed for FY 2016-17	PPM Available for Programming MTC+CMA	MTC Share for FY 2017-18 FY 2018-19	CMA Share for FY 2017-18 FY 2018-19	2014 STIP CMA Program Capacity less PPM**
Alameda	2,519	1,017	1,502	275	1,227	28,529
Contra Costa	1,722	694	1,028	179	849	21,010
Marin	470	190	280	51	229	0
Napa	310	125	185	31	154	6,688
San Francisco	1,276	514	762	140	622	11,652
San Mateo	1,306	531	775	145	630	21,428
Santa Clara	2,990	1,206	1,784	321	1,463	17,148
Solano	779	314	465	85	380	10,099
Sonoma	963	391	572	102	470	0
Bay Area Totals	12,335	4,982	7,353	1,329	6,024	116,554

** Assumes CMA programs up to PPM limit.

J:\PROJECT\Funding\RTIP\14 RTIP\[Final 2014 STIP FE Targets 2013-08-06.xlsx]Sheet1

2014 Regional Transportation Improvement Program
Policies, Procedures and Project Selection Criteria
Attachment C: 2014 RTIP Project Screening Criteria

Eligible Projects

A. **Eligible Projects.** SB 45 (Chapter 622, Statutes 1997) expanded the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, grade separation, pedestrian and bicycle facilities, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety. Due to the current fund make up of the STIP, sponsors should expect that all projects programmed in the STIP should be eligible for federal funds.

Planning Prerequisites

B. **RTP Consistency.** Projects included in the RTIP must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires to be consistent with federal planning and programming requirements. Each project to be included in the RTIP must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number.

C. **CMP Consistency.** Local projects must also be included in a County Congestion Management Plan (CMP), or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to inclusion in the RTIP.

D. **PSR or PSR Equivalent is Required.** Projects in the STIP must have a complete project study report or, for a project that is not on a state highway, a project study report equivalent or major investment study. The intent of this requirement is to ensure that the project scope, cost and schedule have been adequately defined and justified. Projects with a circulating draft or final environmental document do not need a PSR. This requirement is particularly important in light of SB 45 timely use of funds requirements, discussed below.

   The required format of a PSR or PSR equivalent varies by project type. Additional guidance on how to prepare these documents is available on the internet at the addresses indicated within Part 3 (Project Study Report (PSR), or equivalent) of Attachment D: 2014 RTIP Project Application, which includes a table categorizing PSR and PSR equivalent requirements by project type.

Project Costs and Phases

E. **Escalated Costs.** All projects will count against share balances on the basis of their fully escalated (inflated) costs. All RTIP project costs must be escalated to the year of expenditure.

   As required by law, inflation estimates for Caltrans operations (support) costs are based on the annual escalation rate established by the Department of Finance.

   Local project sponsors may use the state escalation rates or their own rates in determining the escalated project cost in the year programmed.

F. Project Phases. Projects must be separated into the following project components:

1. Completion of all studies, permits and environmental studies (ENV)
2. Preparation of all Plans, Specifications, and Estimates (PS&E)
3. Acquisition of right-of-way (ROW)
4. Construction and construction management and engineering, including surveys and inspections." (CON)
   Note: Right-of-way and construction components on Caltrans projects must be further separated into capital costs and Caltrans support costs (ROW-CT and CON-CT).

The project sponsor/CMA must display the project in these four components (six for Caltrans projects) in the final submittal. STIP funding amounts programmed for any component shall be rounded to the nearest $1,000. Additionally, unless substantially justified, no project may program more than one project phase in a single fiscal year. Caltrans-sponsored projects are exempt from this prohibition. Additionally, right of way (ROW) funds may be programmed in the same year as final design (PS&E) if the environmental document is approved. ROW funds may be programmed in the same year as construction (CON) only if the project does not have significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals (see section L). The CTC will not allocate PS&E, ROW, or CON funding until CEQA and NEPA (if federalized) documents are complete and submitted to CTC.

All requests for funding in the RTIP for projects on the state highway system and implemented by an agency other than the Department must include any oversight fees within each project component cost, as applicable and as identified in the cooperative agreement. This is to ensure sufficient funding is available for the project component.

G. Minimum Project Size. New projects or the sum of all project components per project cannot be programmed for less than $500,000 for counties with a population over 1 million (from 2010 U.S. Census data: Alameda, Contra Costa, and Santa Clara Counties), and $250,000 for counties with a population under 1 million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma Counties), with the following exceptions:

(a) Funds used to match federal funds;
(b) Planning, Programming and Monitoring (PPM);
(c) Projects for landscaping and mitigation of State highway projects, including soundwalls;
(d) Caltrans project support components not allocated by the Commission; and
(e) Right-of-way capital outlay for Caltrans, which is not allocated by the Commission on a project basis.
(f) Other exceptions may be made on a case-by-case basis.

H. Fiscal Years of Programming. The 2014 STIP covers the five-year period from FY 2014-15 through 2018-19. The 2014 STIP has a shortfall in funding in the first three years, which may require counties to delay certain projects in order to align programming with available funding. If a project will not be ready for allocation in a certain year, project sponsors should delay funds to a later year of the five-year STIP period.

Readiness Standards

I. **Project Phases Must Be Ready in the Year Proposed.** Funds designated for each project component will only be available for allocation until the end of the fiscal year in which the funds are programmed in the STIP. Once allocated, the sponsor will have two additional years beyond the end of the programmed fiscal year to expend funds. For construction, the sponsor will have six months to award a contract and three years to expend funds after project award. Project sponsors must invoice at least once in a six-month period following the allocation of funds. It is therefore very important that projects be ready to proceed in the year programmed.

J. **Completion of Environmental Process.** Government Code Section 14529(c) requires that funding for right-of-way acquisition and construction for a project may be included in the STIP only if the CTC makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five year STIP period. Furthermore, in compliance with Section 21150 of the Public Resources Code, the CTC may not allocate funds to local agencies for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) for federally-funded projects. Therefore, project sponsors must demonstrate to MTC that these requirements can be reasonably expected to be met prior to programming final design, right-of-way, or construction funds in the RTIP. Final CEQA documents (aside from Categorical Exemptions, or CEs) must be submitted to CTC prior to allocation. Additional information is available at: http://www.catc.ca.gov/programs/environ.htm.

K. **Programming Project Components in Sequential STIP Cycles.** Project components may be programmed sequentially. That is, a project may be programmed for environmental work only, without being programmed for plans, specifications, and estimates (design). A project may be programmed for design without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. The CTC recognizes a particular benefit in programming projects for environmental work only, since projects costs and particularly project scheduling often cannot be determined with meaningful accuracy until environmental studies have been completed. As the cost, scope and schedule of the project is refined, the next phases of the project may be programmed with an amendment or in a subsequent STIP.

   When proposing to program only preconstruction components for a project, the implementing agency must demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan. The anticipated total project cost and source of any uncommitted future funding must be identified.

L. **Sequential Phasing.** For most projects, the different project phases should be programmed sequentially in the STIP, i.e. environmental before design before right of way before construction. Projects with significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals, must not be programmed with the right of way and construction components in the same year as the environmental. Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of

design, right of way or construction. As prescribed in Section F, projects may not have more than one phase programmed per fiscal year, with the exceptions of Caltrans-sponsored preconstruction phases, and right of way (ROW) funds programmed with final design (PS&E) or construction (CON) where there are no significant ROW acquisitions necessary.

M. The Project Must Be Fully Funded. All local projects must be accompanied by an authorizing resolution stating the sponsor's commitment to complete the project as scoped with the funds requested. A model resolution including the information required is outlined in Attachment D - Part 1 of this guidance.

The CTC will program a project component only if it finds that the component itself is fully funded, either from STIP funds or from other committed funds. The CTC will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including RSTP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

All regional agencies with rail transit projects shall submit full funding plans describing each overall project and/or useable project segment. Each plan shall list Federal, State, and local funding categories by fiscal year over the time-frame that funding is sought, including funding for initial operating costs. Moreover, should the project schedule exceed the funding horizon, then the amount needed beyond what is currently requested shall be indicated. This information may be incorporated in the project application nomination sheets.

N. Field Review for Federally Funded Local Projects. One way to avoid unnecessary STIP amendment and extension requests is to conduct a field review as early as possible, so potential issues may be identified with sufficient time for resolution.

For all projects in the 2014 RTIP (anticipated to be a mix of federal and state funding), the project sponsor agrees to contact Caltrans and schedule and make a good faith effort to complete a project field review within 6-months of the project being included in the Transportation Improvement Program (TIP). For the 2014 STIP, Caltrans field reviews should be completed by September 1, 2014 for federal aid projects programmed in 2014-15 and 2015-16. The requirement does not apply to planning activities, state-only funded projects, or STIP funds to be transferred to the Federal Transit Administration (FTA).

Other Requirements

O. Availability for Audits. Sponsors must agree to be available for an audit if requested. Government Code Section 14529.1 "The commission [CTC] shall request that the entity receiving funds accept an audit of funds allocated to it by the commission, if an audit is deemed necessary."

P. Interregional Projects May Be Proposed Under Some Restrictive Circumstances. The project must be a usable segment and be more cost-effective than a Caltrans alternative project. Government Code Section 14527 (c) "A project recommended for funding by the RTPA in the Interregional

Improvement Program shall constitute a usable segment, and shall not be a condition for inclusion of other projects in the RTIP." Government Code Section 14529 (k) "... the commission [CTC] must make a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department...."

Q. **Premature Commitment of Funds.** The project sponsor may not be reimbursed for expenditures made prior to the allocation of funds by the CTC (or by Caltrans under delegation authority), unless the provisions of Senate Bill 184 are met in accordance with the CTC Guidelines for Implementation of SB 184. Under no circumstances may funds be reimbursed for expenditures made prior to the funds being programmed in the STIP or prior to the fiscal year in which the project phase is programmed. In addition, the sponsor must make a written request to Caltrans prior to incurring costs, in accordance with Caltrans Locals Assistance Procedures for SB 184 implementation.

R. **State-Only Funding.** The 2014 RTIP is expected to be funded with a mix of federal and state funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules, unless they are granted a state-only funding exception by the CTC. Project sponsors are expected to meet all requirements of Article XIX in selecting projects receiving state-only funding. This includes sponsors or the CMA providing documentation verifying the county passed a measure allowing for the use of state-only State Highway Account funds on fixed guideway projects, should RTIP funds be proposed for use on non-federalized fixed guideway transit projects.

S. **Federal Transportation Improvement Program.** All projects programmed in the STIP must also be programmed in the federal Transportation Improvement Program (TIP), regardless of fund source. Project sponsors are encouraged to submit TIP amendment requests immediately following inclusion of the project into the STIP by the CTC. The project listing in the TIP must include total project cost by phase regardless of the phase actually funded by the CTC. STIP projects using federal funds will not receive federal authorization to proceed without the project being properly listed in the TIP.

T. **Agency Single Point of Contact.** Project sponsors shall assign a single point of contact within the agency to address programming and project delivery issues that may arise during the project life cycle. The name, title, and contact information of this person shall be furnished to the CMA and MTC at the time of project application submittal. This shall also serve as the agency contact for all FHWA-funded projects.

2014 Regional Transportation Improvement Program (RTIP)
Attachment D: 2014 RTIP Project Application

Project sponsors must submit a completed project application for each project proposed for funding in the 2014 RTIP. The application consists of the following five parts and are available on the Internet (as applicable) at: http://www.mtc.ca.gov/funding/

1. Resolution of local support
2. Project Study Report (PSR), or equivalent
3. RTIP Project Programming Request (PPR) form (with maps) (must be submitted electronically)
4. Performance Measures Worksheet (if applicable)
5. Routine Accommodations Checklist (if applicable: check with CMA or on MTC's website, listed above)

Part 1: Sample Resolution of Local Support

Resolution No. _____
Authorizing the filing of an application for funding assigned to MTC and committing any necessary matching funds and stating the assurance to complete the project

WHEREAS, (INSERT APPLICANT NAME HERE) (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for (INSERT FUNDING $ AMOUNT HERE) in funding assigned to MTC for programming discretion, which includes federal funding administered by the Federal Highway Administration (FHWA) and federal or state funding administered by the California Transportation Commission (CTC) such as Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding, Transportation Alternatives (TA) funding, and Regional Transportation Improvement Program (RTIP) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the (INSERT PROJECT TITLE(S) HERE) (herein referred to as PROJECT) for the (INSERT MTC PROGRAM(S) HERE) (herein referred to as PROGRAM); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP 21) authorize various federal funding programs including, but not limited to the Surface Transportation Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives Program (TA) (23 U.S.C. § 213); and

WHEREAS, state statutes, including California Streets and Highways Code §182.6 and §182.7 and California Government Code §14527, provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal or state funds for a regionally-significant project shall submit an application first with the appropriate MPO, or RTPA, as applicable, for review and inclusion in the federal Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a

resolution adopted by the responsible implementing agency stating the following:

- the commitment of any required matching funds; and
- that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- that the PROJECT will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
- the assurance of the sponsor to complete the PROJECT as described in the application, subject to environmental clearance, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
- that the PROJECT will have adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and
- that the PROJECT will comply with all project-specific requirements as set forth in the PROGRAM; and
- that APPLICANT has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans. FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and
- in the case of a transit project, the PROJECT will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region; and
- in the case of a highway project, the PROJECT will comply with MTC Resolution No. 4104, which sets forth MTC's Traffic Operations System (TOS) Policy to install and activate TOS elements on new major freeway projects; and
- in the case of an RTIP project, state law requires PROJECT be included in a local congestion management plan, or be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and

WHEREAS, that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and

WHEREAS, there is no legal impediment to APPLICANT making applications for the funds; and

WHEREAS, there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and

WHEREAS, APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and

WHEREAS, MTC requires that a copy of this resolution be transmitted to the MTC in conjunction with the filing of the application.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 or continued funding; and be it further

RESOLVED that APPLICANT will provide any required matching funds; and be it further

RESOLVED that APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and be it further

RESOLVED that APPLICANT understands the funding deadlines associated with these funds and will

comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation and transit projects, and has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans. FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and be it further

RESOLVED that PROJECT will be implemented as described in the complete application and in this resolution, subject to environmental clearance, and, if approved, for the amount approved by MTC and programmed in the federal TIP; and be it further

RESOLVED that APPLICANT has reviewed the PROJECT and has adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and be it further

RESOLVED that PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and be it further

RESOLVED that, in the case of a transit project, APPLICANT agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution No. 3866, revised; and be it further

RESOLVED that, in the case of a highway project, APPLICANT agrees to comply with the requirements of MTC's Traffic Operations System (TOS) Policy as set forth in MTC Resolution No. 4104; and be it further

RESOLVED that, in the case of an RTIP project, PROJECT is included in a local congestion management plan, or is consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and be it further

RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and be it further

RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED that APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC's federal TIP.

RTIP Project Application

Part 2: Project Study Report (PSR), or equivalent

The required format of a PSR or PSR equivalent varies by project type. The following table categorizes PSR and PSR equivalent requirements by project type. Additional guidance on how to prepare these documents is available on the Internet at the addresses indicated below, or from MTC.

Project Study Report (PSR) Requirements
PSR and Equivalents by Project Type

Project Type	Type of Document Required *	Where to get more information
State Highway	Full PSR or PD/ENV Only	*http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm*
Local Roadway a. rehabilitation	PSR for local rehabilitation	*http://www.dot.ca.gov/hq/LocalPrograms/public.htm* then look in "13. Project Study Report (Local Rehabilitation)"
b. capacity increasing or other project	PSR equivalent – project specific study with detailed scope and cost estimate	In most cases completing the Preliminary Environmental Study and Field Review forms in the Local Assistance Procedures Manual should be sufficient. These forms can be found at: Preliminary Environmental-- *http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm* then look in chapter 6 pg 6-31. Field Review -- *http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm* then look in chapter 7 pg 7-13.
Transit	State of California Uniform Transit Application	*http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/state-uta-app-091906.pdf*
Traffic Congestion Relief (TCR) Program projects (Specific phase)	TCR program application for the phases of work included in the TCR application	For a Traffic Congestion Relief (TCR) Program project, a TCR program application is considered a PSR equivalent for the phases of work included in the TCR application *http://www.dot.ca.gov/hq/transprog/ocip.htm*
Other	PSR equivalent with detailed scope and cost estimate	To be determined on a case by case basis

* In some instances a Major Investment Study (MIS) prepared under federal guidance may serve as a PSR equivalent where information provided is adequate for programming purposes.

RTIP Project Application

Part 3: Project Programming Request (PPR) Form

Applicants are required to submit a Project Programming Request (PPR) form in order to be considered for funding from the 2014 RTIP.

The PPR for new projects can be downloaded from the following location:
http://www.dot.ca.gov/hq/transprog/ocip/pprs/PPR%20-%20New%20Projects%20-%207-8-13_FY%2014-15%20thru%2018-19.xls

The PPRs for existing projects can be downloaded from the following location:
http://www.dot.ca.gov/hq/transprog/ocip/2014stip.htm

Part 4: Performance Measures Worksheet

Applicants submitting nominations for projects with total project costs exceeding $50 million, have over $15 million in STIP funds programmed, or using over 50% of a county share (for the county share period) are required to submit a Performance Measure Worksheet.

The Worksheet template is available at the following location:
http://www.catc.ca.gov/programs/stip.htm

Select the "2014 STIP Guidelines" document. The template begins on page 43 of the guidelines, under "Appendix B: Performance Indicators, Measures, and Definitions".

Part 5: Complete Streets Checklist

Applicants are required to include the Complete Streets (Routine Accommodations) Checklist with the application submittal to MTC for projects that will have an impact on bicycles or pedestrians. The Checklist is available from the Congestion Management Agencies and at the MTC website at http://www.mtc.ca.gov/planning/bicyclespedestrians/routine_accommodations.htm.

2014
Regional Transportation Improvement Program

STIP Amendments / Extensions
Rules and Procedures

September 25, 2013

MTC Resolution No. 4118
Attachment 2

Metropolitan Transportation Commission
Programming and Allocations Section
http://www.mtc.ca.gov/funding.htm

RTIP
Regional Transportation Improvement Program

STIP Amendments / Extensions
Rules and Procedures
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Regional Transportation Improvement Program (RTIP)
STIP Amendments / Extensions Rules and Procedures

What is the STIP?
The State Transportation Improvement Program (STIP) is the State's spending program for state and federal funding. The STIP is comprised of the Regional Transportation Improvement Program (RTIP) and the Interregional Transportation Improvement Program (ITIP). The program is updated every two years and currently covers a five-year period. STIP funded projects, like all other state and federally funded projects, must be listed in the TIP in order for the sponsor to access the funding. This biennial STIP process is outlined in the attached "STIP Process".

Seventy-five percent (75%) of the funding in the STIP flows to regions by formula through their RTIPs. Regions throughout the state are charged with developing an expenditure plan for the funds. Eligible project types include improvements to state highways, local roads, public transit, intercity rail, pedestrian and bicycle facilities, grade separations, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

The remaining 25% of the funding flows to the ITIP, which is a statewide competitive program. This funding is directed to projects that improve interregional transportation. Eligible project types include intercity passenger rail, mass transit guideways, grade separation, and state highways.

When are Amendments and Extensions Allowed?

STIP Amendments
An amendment may change the cost, scope or schedule of a STIP project and its components. For instance, if the final cost estimate for a project is higher (or lower) than the amount programmed, a STIP amendment may be requested to increase or (decrease) the amount programmed. Or, as a project progresses through project development, it may be time to add the next component or phase. Likewise, if the project schedule is delayed significantly, an amendment may be warranted to request a change in program year of the funding in order to prevent a funding lapse. STIP amendments may also be requested to delete project funding or to add a new project into the STIP.

Important Tip: Once a state fiscal year (July 1 – June 30) has begun, the CTC will not allow STIP amendments to delete or change the funding programmed in that fiscal year. Instead, the project sponsor may request a one-time extension as described below.

One-time Extension Requests
SB 45 established deadlines for allocation, contract award, expenditure and reimbursement of funds for all projects programmed in the STIP. The CTC may, upon request, grant a one-time extension to each of these deadlines for up to 20 months. However, the CTC will only grant

an extension if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Furthermore, the extension will not exceed the period of delay directly attributable to the extraordinary circumstance. Generally, the CTC does not grant extensions longer than 12 months. Additionally, project sponsors must be present at the CTC meeting where action is taken on any extension request, to answer questions the CTC staff or commissioners may have.

Roles and Responsibilities

The STIP Amendment and Extensions process requires review and approval by various agencies to ensure the action requested is appropriate, and consistent with state statutes, CTC guidance, Caltrans procedures and regional policies. Projects must be included in a county Congestion Management Program (CMP) or county Capital Improvement Program (CIP), and must be consistent with the Regional Transportation Plan (RTP) to be programmed in the RTIP. Therefore, any additions or changes that may impact the priorities established within these documents must be reviewed and approved by the appropriate agency. Furthermore, improperly programmed funds or missed deadlines could result in funding being permanently lost to the region.

Project sponsors are responsible for reviewing and understanding the procedures, guidance and regulations affecting projects programmed in the STIP. Project sponsors must also assign a Single Point of Contact – an individual responsible for submitting documentation for STIP amendments and extensions that must have read and understood these policies and procedures, particularly the CTC STIP Guidelines available on the internet at http://www.dot.ca.gov/hq/transprog/ocip.htm and the MTC RTIP Policies and Application Procedures posted on the internet at: http://www.mtc.ca.gov/funding/. Project sponsors are ultimately responsible for ensuring the required documentation is provided to Caltrans by the deadlines established by Caltrans for all allocations, extensions, and additional supplemental funds requests.

The Congestion Management Agencies/Transportation Authorities are responsible for ensuring the packages submitted by the project sponsors are complete, and the proposed changes are consistent with the Regional Transportation Plan (RTP), and Congestion Management Plans (CMPs) or Capital Improvement Program (CIP). The CMAs/TAs check to ensure the proposed changes meet MTC, CTC and other state or federal guidance and regulations. As mentioned in the Guiding Principles of the 2014 RTIP Policies and Procedures, the CMA must consider equitable distribution of projects in accordance with Title VI. Following CMA/TA concurrence of the request, the complete package is forwarded to MTC.

The Metropolitan Transportation Commission (MTC), as the Regional Transportation Planning Agency (RTPA) for the nine counties of the San Francisco Bay Area, provides concurrence for the STIP requests and formally submits all STIP Amendments to Caltrans for approval by the CTC. MTC also verifies compliance with established state and regional policies. Although MTC provides concurrence on extensions, additional supplemental funds requests and some allocation requests, it is the responsibility of the project sponsor, not MTC,

to ensure the required documentation is submitted to Caltrans by the established deadlines for these action requests.

The California Department of Transportation (Caltrans) processes the requests and makes recommendations to the California Transportation Commission (CTC) in accordance with Department procedures and CTC policies and guidelines.

The California Transportation Commission (CTC) approves or rejects the requests based on state statutes and its own established guidance and procedures.

Requesting STIP Amendments and Extensions

As described below, the procedures for processing STIP amendments and extensions vary depending on whether the project is sponsored by Caltrans or a local agency, and whether it has already received STIP funding.

Step 1: Project Sponsor Requests STIP Amendment or Extension

For currently programmed Caltrans projects:

- Caltrans and the appropriate CMA identify and discuss the issue(s) that may require an amendment or extension and notify MTC Programming and Allocations (P&A) Section staff that a change to the current STIP may be necessary and is being considered.
- Caltrans and CMA agree on proposed change(s).
- Where necessary, CMA staff requests policy board approval of proposed change.
- Once approved by the CMA, CMA notifies Caltrans in writing of the county's concurrence, with a copy sent to MTC P&A.
- Caltrans requests MTC concurrence for the STIP Amendment/Extension by transmitting the following to MTC P&A:
  - Letter requesting the STIP Amendment or Extension with explanation and justification of the need for the action with the following attachments:

For a STIP Amendment:

- Copy of CMA's letter of concurrence
- Revised RTIP Application Form – http://www.mtc.ca.gov/funding/
- TIP Amendment Form - http://www.mtc.ca.gov/funding/
- A construction 'STIP History' for each amendment that would delay the year of construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for the previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated

funding source for the additional funds necessary to complete the project under the delayed schedule. (A STIP History is only required for amendments to delay the year of construction.)

For an Extension:

- Copy of CMA's letter of concurrence
- A construction 'STIP History' for each extension that would delay construction as described above for a STIP Amendment.

For currently programmed local projects:

- Sponsor and the appropriate CMA identify and discuss the issue(s) that may require an amendment or extension and notify Caltrans and MTC Programming and Allocations Section staff that a change to the current STIP may be necessary and is being considered.
- Sponsor and CMA agree on proposed change(s).
- Sponsor requests CMA concurrence for the STIP Amendment/Extension by submitting the following to the CMA:
  - Letter requesting the STIP Amendment or Extension with explanation and justification of the need for the action with the following attachments:

For a STIP Amendment:

- Revised RTIP Application Form - http://www.mtc.ca.gov/funding/
- TIP Amendment Form - http://www.mtc.ca.gov/funding/
- A construction 'STIP History' for each amendment that would delay the year of construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated funding source for the additional funds necessary to complete the project under the delayed schedule (A STIP History is only required for amendments to delay the year of construction.)
- Any other documentation required by the CMA or Caltrans

For an Extension:

- Copy of completed Request for Time Extension form (Exhibit 23-B, located on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapg-forms/g23forms-2013-05-08.docx).
- A construction 'STIP History' for each extension that would delay construction, as described above for a STIP Amendment.

- A listing showing the status of all SB 45 and regional project delivery policy (MTC Resolution 3606) deadlines for all of the project sponsors' allocated STIP projects, and all active projects funded through the Federal Highway Administration (FHWA), including but not limited to Surface Transportation Program (STP), Congestion Mitigation Air Quality Improvement (CMAQ), and Transportation Alternatives Program (TAP) projects. This is to ensure project sponsors are aware of the other deadlines facing other projects, and so that sponsors will work to meet those deadlines. A template is available online at: http://www.mtc.ca.gov/funding/delivery/Template_FHWA_Funded_Projects_Status.xlsx.
- Any other documentation required by the CMA or Caltrans

- Where necessary, CMA staff requests policy board approval of proposed request.
- Sponsor submits Caltrans' "Request for Time Extension" form and any other required documentation to Caltrans.
- CMA requests MTC concurrence for the STIP Amendment/Extension by transmitting a letter to MTC P&A requesting the STIP Amendment or Extension with explanation and justification of the need for the action along with the documentation submitted by the project sponsor. A copy of the request is also sent to Caltrans.
- Sponsor must be present at the CTC meeting where action is being taken on the extension request to justify the reasons for the extension. Failure to be present may result in the CTC denying the extension request, and risk losing the programmed funds permanently due to missed deadlines. In limited instances, a project sponsor may request that their CMA be available in place of the project sponsor. The CMA and MTC must concur with this request via email.

Important Tip: For STIP Extensions, the CTC will only grant an extension if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Furthermore, the extension will not exceed the period of delay directly attributable to the extraordinary circumstance, up to a maximum of 20 months (although the Commission generally does not grant any extension longer than 12 months). It is therefore absolutely necessary that the letter and supporting documentation clearly explains and justifies the extension request. Failure to provide adequate justification and not being present at the CTC meeting will most likely result in an extension not being approved.

For all new projects:

- Sponsor and the appropriate CMA identify and discuss the issue(s) that may require a new project to be added to the STIP and notify Caltrans and MTC Programming and Allocations (P&A) Section staff an amendment to the current STIP may be necessary and is being considered.
- Sponsor and CMA agree on proposed addition.
- Sponsor requests CMA concurrence for the STIP Amendment by submitting the following to the CMA:

- Letter requesting the STIP Amendment with explanation and justification of the need for the project to be added to the STIP.
- TIP Amendment form - http://www.mtc.ca.gov/funding/
- RTIP Application form including: - http://www.mtc.ca.gov/funding/
  - Resolution of local support
  - Project Programming Request (PPR) forms (with maps)
  - Local agency certification of assurances
  - Project Study Report (PSR), or equivalent.
  - Copy of State-Only Funding Request Exception Form (Only if requesting state-only funding and project is not on pre-approved state-only eligible funding list. Original request is to be submitted directly to Caltrans HQ Budgets for processing and approval prior to MTC submittal of the request to Caltrans/CTC).
- CMA staff obtains policy board approval of proposed addition.
- CMA requests MTC concurrence for the new project by transmitting a letter to MTC P&A requesting the STIP Amendment with an explanation and justification of the need for the project along with a copy of the CMA Resolution approving the project, and the documentation listed above provided by the project sponsor.

Step 2: MTC Review and Concurrence

- Once a complete request has been received, MTC P&A staff will place the request on the MTC Programming and Allocations Committee (PAC) meeting agenda for concurrence of major changes, or prepare a letter of concurrence for the Executive Director's signature for minor changes.
- Following approval by PAC and/or the Executive Director, MTC will sign Caltrans' Request for Time Extension form and send it with a Letter of Concurrence to Caltrans District 4 with a copy to the appropriate CMA. (District 4 will ensure that the request is copied to the appropriate contacts at Caltrans Headquarters and CTC.) MTC may concur with minor changes on Caltrans-sponsored projects administratively via email.

Major versus minor changes

- All major changes, including any requests to program a new project, will be presented to MTC's Programming and Allocations Committee (PAC) to determine MTC's concurrence. Major changes include:
  - request to program a new project (or delete a project)
  - schedule delay that affects air quality conformity analysis
  - project advance with reimbursement or replacement project per AB 3090
  - request to use Grant Anticipation Revenue Vehicle (GARVEE) financing
- For minor changes, MTC staff may write a letter of concurrence for the Executive Director's signature. Minor changes include:

- Extension requests for allocation, award, expenditure and reimbursement/project completion deadlines
- schedule changes, except where change implies major cost or delivery ramifications
- changes in implementing agency or project sponsor
- changes to project budget that are less than 20% of the total project cost or less than $1 million.
- redirection of funds from one project component to another (e.g. from project engineering into environmental)
- changes considered routine and not impacting project delivery

* Amendments or extensions based on new federal or state requirements may need to go to MTC's PAC

Additional/Supplemental Funds

On occasion it may be necessary to provide additional 'Supplemental' funding to a project as a result of cost increases or revised cost estimates. There are several different processes to follow depending on where the project is within its delivery schedule. The various methods to add STIP funding to a project are as follow:

Biennial STIP Cycle: If additional funding is identified years before the actual allocation, the project sponsor may request the funding through the biennial STIP adoption process. This process is outlined in MTC's RTIP Policies and Application Procedures, and is the preferred method of requesting additional/supplemental funds.

STIP Amendment: If additional funding is identified prior to the allocation of funds, but is required prior to the next biennial STIP adoption, a STIP amendment adding the funds to the project may be requested as outlined in the STIP Amendment procedures above. However, in most cases the additional funds could be added at the time of allocation, thus foregoing the STIP amendment process.

Additional Funds at Time of Allocation: Often the simplest way to add supplemental funds is at the time of allocation. The process is the same as the procedures outlined above for a time extension, except that instead of a "Request for Time Extension" form, a "Request for STIP Funding Allocation" form is used (Exhibit 23-O, located on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapg-forms/g23forms-2013-05-08.docx). In all supplemental funding requests, the additional funding must be approved by the CTC.

Additional Funds After Allocation: It may be necessary to seek additional funds after an allocation, either to award the project or due to unforeseen cost increases while the project is under construction. In either case, an analysis should be performed to determine whether re-engineering (sometimes called "value engineering") could achieve cost reductions to accommodate the increase. If additional funds are still necessary, a funding

source outside the STIP should be pursued prior to seeking additional STIP funding. If it is determined that additional STIP funds are needed, then the project sponsor should proceed as with the procedures outlined for "Additional Funds at Time of Allocation". It should be noted that once the funds are allocated, the project sponsor does not have the option to add the funds through a STIP amendment since the CTC does not allow amendments to change the programming for a given component after the funds have been allocated.

Allocation of Funds

Project sponsors request an allocation of funds directly to Caltrans, with Caltrans placing the request on the CTC Agenda for approval. The completed request package is due to Caltrans 60 days prior to the CTC meeting where the funds are anticipated to be allocated. In general MTC is not involved with the allocation process, however, under a few circumstances MTC concurrence is required as noted below:

Local Road Rehabilitation Projects: Allocation of funds for local road rehabilitation projects requires certification from MTC. Project sponsors should submit the "Pavement Management System Certification" form with the "Local Road Rehabilitation Project Certification" form attached (Exhibits 23-L and 23-K, both found on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapg-forms/g23forms-2013-05-08.docx) directly to MTC for signature. MTC will then transmit the signed form to Caltrans District 4 – Local Programs. All other allocation request documentation should be sent directly to Caltrans District 4 – Local Programs.

Allocation of State-Only Funds: MTC concurs with all State-Only funds allocations that are listed in the STIP as State-Only. Projects without State-Only funding pre-approved by CTC must request a State-Only Funding Exception form (Exhibit 23-F, found on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/lapg-forms/g23forms-2013-05-08.docx). MTC must concur with the exception request, and the form is submitted to Caltrans.

Funds Allocated Differently than Programmed: In some instances it may be necessary to allocate funds differently from what is programmed in the STIP. These situations generally still require MTC concurrence. Fortunately a STIP amendment may not be required, and the funding may be revised at the time of the allocation, thus avoiding the long STIP amendment process. However, A TIP amendment is still required, especially if federal funds are involved. Changes that are allowed at the time of allocation are noted below; however, project sponsors should consult with Caltrans District 4 Local Programs, the CMA and/or MTC to determine whether a change at the time of allocation is permissible before preparing the allocation request.

- Change in implementing agency
- Cost savings (allocation less than program amount)
- Redirection of funds among project components or phases within the project as long as total STIP funding has not increased or previously been allocated.

- Advancement of funding from future years (transit projects with funds to be transferred to FTA require a TIP amendment to advance funds)
- Change in funding type (a change to state-only funding requires approval from Caltrans with their "State-Only Funding Request Exception" form if the project type is not on the pre-approved state-only eligible funding list – see "Allocation of State-Only Funds" above).

STP/CMAQ Match Reserve: Project sponsors must work with the applicable CMA/TA to obtain programming approval for STP/CMAQ match made available in the STIP. The CMA develops a countywide list for the use of the reserved funds and submits the list to MTC, who in turns provides Caltrans with the region-wide Match Program. Any deviation from this program, whether in the funding amount, project sponsor, or funding year, requires the CMA to resubmit an updated plan for the county to MTC. Caltrans cannot allocate the matching funds if they are inconsistent with the approved STIP - STP/CMAQ Match Program.

Funds allocated as programmed in the STIP: The allocation of funds as they are programmed in the STIP and TIP do not involve MTC, other than as noted previously. Project sponsors work directly with Caltrans District 4 local programs in obtaining the allocation. STIP projects using federal funds will not receive federal authorizations to proceed without the project being properly listed in the TIP. Federal authorization to proceed (E-76) requests must be submitted to Caltrans at the same time as the STIP allocation package to avoid delays to authorization.

Important Tip: Although some minor changes in the allocation of funds may not require a full STIP amendment, most changes still require MTC concurrence, and possibly a TIP amendment and may even require a vote of the CTC rather than a simple Caltrans delegated allocation approval. Project sponsors are encouraged to consult with the CMA, and Caltrans District 4 prior to preparing any allocation request, to ensure sufficient time is allowed for processing the allocation request, particularly toward the end of the year when the Timely Use of Funds provisions of SB 45 are of critical concern.

Timeline for STIP Amendment/Extension Approval

Completed documentation requesting MTC concurrence must be received by MTC staff no later than the first day of the month prior to the month in which the request will be heard by the Programming and Allocations Committee (PAC). (For example, requests received by January 1 will be reviewed at the February PAC meeting). Subsequently, requests with completed documentation and MTC concurrence must be submitted to the Caltrans District Office 60 to 90 days prior to the CTC meeting where the item will be considered. Therefore, requests for concurrence need to be submitted to MTC generally 150 days prior to CTC action for STIP Amendments and 120 days prior to CTC action for extensions.

For example, a STIP amendment request to delay funding in the next fiscal year is due to MTC by January 1, so it may be approved at the February PAC Meeting, and then submitted to

Caltrans in time for the 60-day due date of March 2, so it may be noticed at the May 2 CTC meeting for action at the June 6 CTC meeting.

Important Tip: The CTC will not amend the STIP to delete or change the funding for any project component after the beginning of the fiscal year in which the funding is programmed. Therefore, all amendments to delay a project component must be approved by the CTC by the June meeting in the year prior to the programmed year of funding. To meet this deadline, amendments to delay delivery must be submitted to MTC no later than January 1 of the fiscal year prior to the fiscal year of the funding subject to delay.

A due date schedule is prepared each year for the submittal of STIP requests. This schedule is posted on the internet at: http://www.dot.ca.gov/hq/transprog/ctcliaison.htm

STIP Amendment Form/TIP Amendment Form

The forms necessary to initiate the STIP Amendment process may be downloaded from the MTC website at: http://www.mtc.ca.gov/funding/. TIP Amendments should be processed through the Fund Management System, also available at the website mentioned above.

Contacts for STIP Amendments/Extensions:

Name	Area	Phone	Email
Kenneth Kao	STIP	510.817.5768	kkao@mtc.ca.gov
Ross McKeown	STIP	510.817.5842	rmckeown@mtc.ca.gov
Sri Srinivasan	TIP Amendments	510.817.5793	ssrinivasan@mtc.ca.gov
Adam Crenshaw	TIP Amendments	510.817.5794	acrenshaw@mtc.ca.gov

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APPENDIX A – 12

Regional Policies: Project Funding

Policies, Procedures and Project Selection Criteria
for Developing the 2012 Regional Transportation
Improvement Program (RTIP)

MTC Resolution No. 4028

Date: September 28, 2011
W.I.: 1515
Referred by: PAC

ABSTRACT

Resolution No. 4028

This resolution adopts the policies, procedures and project selection criteria for developing the 2012 Regional Transportation Improvement Program (RTIP) for the San Francisco Bay Area, for submission to the California Transportation Commission (CTC), consistent with the provisions of Senate Bill 45 (Chapter 622, Statutes 1997).

Further discussion of these actions is contained in the MTC Executive Director's Memorandum to the MTC Programming and Allocations Committee dated September 14, 2011.

Attachment 1 – Policies, Procedures and Project Selection Criteria for the 2012 RTIP (with attachments)

Attachment 2 – STIP Amendment / Extension Rules and Procedures

Date: September 28, 2011
W.I.: 1515
Referred by: PAC

RE: Adoption of 2012 Regional Transportation Improvement Program (RTIP) Program Policies, Procedures, and Project Selection Criteria

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4028

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC adopts, pursuant to Government Code Section 65080, a Regional Transportation Improvement Program (RTIP) when additional STIP funding is available, that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide transportation planning agencies, and local governments, policies, procedures and project selection criteria to be used in the development of the 2012 RTIP, to include projects programmed in fiscal years 2012-13 through 2016-17; and

WHEREAS, using the process and criteria set forth in the Attachments to this resolution, attached hereto as though set forth at length, a set of capital priorities for the 2012 Regional Transportation Improvement Program (RTIP) will be developed; and

WHEREAS, the 2012 RTIP will be subject to public review and comment; now, therefore, be it

RESOLVED, that MTC approves the process and criteria to be used in the evaluation of candidate projects for inclusion in the 2012 RTIP, as set forth in Attachment 1 of this resolution, and be it further

RESOLVED, that MTC approves the STIP Amendment / Extension Rules and Procedures to be used in processing STIP amendment and extension requests, as set forth in Attachment 2 of this resolution, and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on September 28, 2011.

2012
Regional Transportation Improvement Program

Policies, Procedures, and Project Selection Criteria

September 28, 2011

MTC Resolution No. 4028
Attachment 1

Metropolitan Transportation Commission
Programming and Allocations Section
http://www.mtc.ca.gov/funding/

2012 RTIP
Regional Transportation Improvement Program
Policies, Procedures and Project Selection Criteria
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2012 Regional Transportation Improvement Program (RTIP)
Policies, Procedures and Project Selection Criteria

Background

The State Transportation Improvement Program (STIP) provides funding for a significant number of transportation projects around the State. As the Regional Transportation Planning Agency (RTPA) for the Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for developing regional project priorities for the STIP for the nine counties of the Bay Area.

The Regional Transportation Improvement Program (RTIP) is the region's proposal to the State for STIP funding, due to the California Transportation Commission (CTC) by December 15, 2011. The 2012 STIP will include programming for the five fiscal years from 2012-13 through 2016-17. The region may request advancement of future county shares.

2012 RTIP Development

The following principles will frame the development of MTC's 2012 RTIP, the region's contribution to the 2012 STIP.

- MTC will work with CTC staff, CMA's, transit operators, Caltrans, and project sponsors to prepare the 2012 STIP.

- Investments made in the RTIP must carry out the objectives of the Regional Transportation Plan (RTP), and be consistent with its improvements and programs.

- MTC may choose to consult with counties to consider programming a portion of their RTIP shares for projects that will meet a regional objective.

- MTC will continue to work with CMAs, transit operators, Caltrans and project sponsors to aggressively seek project delivery solutions. Through the use of AB 3090 authority, GARVEE financing, and federal, regional, and local funds, MTC will work with its transportation partners to deliver projects in the region.

- Each county's project list must be constrained within the county share limits unless arrangements have been made with other counties to aggregate the county share targets. MTC continues to support aggregation of county share targets to deliver ready-to-go projects in the region. CMAs that submit a list that exceeds their county share must identify and prioritize those projects that exceed the county share target.

Key Policies and Guidance

The following policies serve as the primary guidance in the development of the 2012 RTIP.

Key Eligibility Policies

Consistency with Regional and Local Plans

RTP Consistency

Transportation 2035 Plan, the 2009 Regional Transportation Plan (RTP) established a policy based on three strategies: adequate maintenance of the existing system, system efficiency, and strategic expansion. Programming policies governing the STIP and other flexible, multi-modal discretionary funding sources such as the federal Surface Transportation Program (STP) and the Congestion Mitigation and Air Quality Improvement (CMAQ) funds need to be responsive to that policy. New projects submitted for RTIP consideration must include a statement addressing how the project meets the strategies set forth in the RTP.

Local Plans

Projects included in the RTIP must be included in a Congestion Management Plan (CMP) or Capital Improvement Program (CIP).

CTC Guidance

The California Transportation Commission (CTC) 2012 STIP guidelines were adoption on August 10, 2011. The MTC 2012 RTIP Policies, Procedures and Project Selection Criteria includes all changes in STIP policy implemented by the CTC. The entire CTC STIP Guidelines are available on the internet at: http://www.dot.ca.gov/hq/transprog/ocip.htm. All CMAs and project sponsors are required to follow the MTC and CTC STIP guidelines in the development and carrying out of the 2012 RTIP/STIP.

2012 RTIP Development Schedule

Development of the 2012 RTIP under these procedures will be done in accordance with the schedule outlined in Attachment A of these policies and procedures.

RTIP County Share Targets

Attachment B of the Policies and Procedures provides the county share targets for each county for the 2012 RTIP, as well as future county shares. Each county's project list, due to MTC in draft form by O, should be constrained within these county share limits; however, there may be opportunities to advance future county shares. It is expected that MTC's RTIP will be developed using a region-wide aggregate of county-share targets and advancement of future county shares.

Project Eligibility

SB 45 (Chapter 622, Statutes 1997) considerably expanded the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

RTIP Project Solicitation

Each county congestion management agency (CMA), or countywide transportation planning agency for those counties that have opted out of the CMA requirement, is responsible for soliciting projects for its county share of the RTIP. The CMA must notify all eligible project sponsors, including

Caltrans and transit operators, of the process and deadlines for applying for RTIP funding, recognizing the expanded project eligibility allowed under SB 45.

Public Involvement Process

MTC is committed to having the CMAs as full partners in development of the RTIP. That participation likewise requires the full commitment of the CMAs to a broad, inclusive public involvement process. Federal regulations call for active outreach strategies in any metropolitan planning process, but opportunities for the public to get involved are especially important with the project selection process for the RTIP.

RTIP Projects in the Transportation Improvement Program (TIP)

In response to new state and federal requirements, RTIP funds must be programmed in the TIP prior to seeking a CTC allocation. In addition, a federal authorization to proceed (E-76) request must be submitted simultaneously with the RTIP allocation request to Caltrans and the CTC when the request includes federal funds – especially TE funds. Beginning in the 2012 RTIP, all projects are subject to be a mix of federal and state funds, and require a federal authorization to proceed. Additionally, all STIP projects are considered regionally significant and must have funds escalated to the year of expenditure, in accordance with federal regulations.

Regional Policies

ARRA RTIP Backfill Programming

In order to expedite obligation and expenditure of American Recovery and Reinvestment Act of 2009 (ARRA) funds, and to address the State's lack of funding, MTC programmed $31 million in ARRA funds to backfill unavailable STIP funds for the Caldecott Tunnel Fourth Bore project. Of the $31 million, $29 million came from Contra Costa's STIP county share, and $2 million from Alameda's STIP county share. As part of MTC Resolution No. 3925, First Cycle Federal New Act Program, these funds were to be directed to Freeway Performance Initiative (FPI) projects. These amounts were not programmed by the CTC in the 2010 RTIP due to insufficient program capacity. Therefore, MTC will program the $31 million in the 2012 RTIP, in freed up RTIP capacity from these two counties, to FPI projects. As a result, Contra Costa's available programming capacity will be reduced by $29 million, and Alameda's available programming capacity will be reduced by $2 million in FY 2012-13. These funds and the FPI projects will have priority for programming in the 2012 RTIP.

Regional Planning, Programming, and Monitoring (PPM) funds

Passage of Assembly Bill 2538 (Wolk, 2006) allows all counties to program up to 5% of their county share to Planning, Programming, and Monitoring (PPM) purposes in the STIP. Since the MTC region previously was limited to a 1% limit, this change allows for a considerable increase in PPM funding available for programming. Attachment B gives amounts of new PPM amounts each county may program in FY 2015-16 and earlier, and in FY 2016-17. As agreed with the CMAs, MTC will program a portion of each county's PPM for regional PPM activities each year, with the new regional PPM amounts for FY 2015-16 and FY 2016-17 shown in Attachment B. MTC's currently programmed amounts for regional PPM activities in FY 2012-13, FY 2013-14, and FY 2014-15, shall not change in the 2012 RTIP. PPM programmed in the last three years of the 2012 RTIP may be re-evaluated in the 2014 RTIP.

Caltrans Project Nomination

Senate Bill 1768 (Chapter 472, Statutes 2002) authorizes the Department of Transportation to nominate or recommend projects to be included in the RTIP to improve state highways using regional transportation improvement funds. To be considered for funding in the RTIP, the Department must submit project nominations directly to the applicable CMA (or countywide transportation planning agency for those counties that have opted out of the CMA requirement). The Department should also identify any additional state highway improvement needs within the county that could be programmed within the 3 years beyond the end of the current STIP period. The Department must submit these programming recommendations and identification of state highway improvement needs to the CMA within the timeframe and deadline prescribed by the applicable CMA.

Title VI Compliance

Investments made in the RTIP must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. The CMA must consider equitable solicitation and selection of project candidates in accordance with federal Title VI requirements.

Intelligent Transportation Systems Policy

In collaboration with federal, state, and local partners, MTC is developing the regional Intelligent Transportation Systems (ITS) architecture. The San Francisco Bay Area Regional ITS Plan is a roadmap for transportation systems integration in the Bay Area over the next 10 years. The plan provides methods to make the most out of technological advances by developing a strategy for deployment and a framework, or architecture, for linking the region's transportation systems.

MTC, state and federal agencies require projects funded with federal highway trust funds to meet applicable ITS architecture requirements. Since the 2006 RTIP, MTC requires that all applicable projects conform to the regional ITS architecture. Through the on-line Fund Management System (FMS) application process, 2012 RTIP project sponsors will identify the appropriate ITS category, if applicable. Information on the regional ITS architecture can be found at: http://www.mtc.ca.gov/planning/ITS/index.htm.

Traffic Operations System Policy for Major New Freeway Projects

It is the Commission's policy that all major new freeway projects included in the Transportation 2035 Plan and subsequent regional transportation plans shall include traffic operations system (TOS) elements to effectively operate the regions freeway system and coordinate with local transportation management systems. MTC requires that all applicable RTIP projects conform to the regional policy. For purposes of this policy, a major freeway project is a project that adds lanes to a freeway, constructs a new segment of freeway, upgrades a segment to freeway status, modifies a freeway interchange, modifies freeway ramps, or reconstructs an existing freeway. A project is considered new if it did not have an approved Project Study Report (PSR) by December 2004, or did not have

funds programmed for the construction phase in the STIP as of December 2004. Caltrans shall operate, manage, maintain and replace the TOS elements installed within its right-of-way.

Freeway Performance Initiative and Express Lane (HOT) Network

All projects on the state highway system must demonstrate a scope and funding plan that includes Traffic Operations System (TOS) elements, consistent with the section above. Projects must also include any additional traffic operations recommendations resulting from the Freeway Performance Initiative (FPI). Additionally, projects on the state highway system proposed for programming in the 2012 RTIP should be consistent with the planned Regional Express Lane (High-Occupancy Toll) Network and the FPI. For new RTIP funding commitments on the Regional Express Lane Network, the CMAs should work with MTC to determine the appropriateness of advance construction elements (such as structures and conduit) to support the future conversion of HOV lanes to express lanes if identified.

MTC Resolution No. 3866 Compliance – Transit Coordination Implementation Plan

On February 24, 2010, MTC approved Resolution No. 3866, which documents coordination requirements for Bay Area transit operators to improve the transit customer experience when transferring between transit operators and in support of regional transit projects. *If a transit operator fails to comply with Res. 3866 requirements, MTC may withhold, restrict or reprogram funds or allocations*. Res. 3866 supersedes MTC's earlier coordination plan, Res. 3055.

One goal of MTC staff in organizing Res. 3866 was to incorporate some detailed project information through reference rather than directly in the resolution in order to facilitate future updates of project-specific requirements. For this reason, some documents are referenced in Res. 3866 and available for download at http://www.mtc.ca.gov/planning/tcip. Transit operators must comply with these more detailed documents in order to comply with Res. 3866. MTC may periodically update these documents in consultation with transit agencies.

Accommodations for Bicyclists, Pedestrians and Persons with Disabilities

Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. Of particular note is Caltrans Deputy Directive 64 which stipulates: "pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products." In addition, MTC's Resolution 3765 requires project sponsors to complete a checklist that considers the needs of bicycles and pedestrians for applicable projects. MTC's Regional Bicycle Plan, adopted as a component of the 2001 RTP, requires that "all regionally funded projects consider enhancement of bicycle transportation consistent with Deputy Directive 64".

In selecting projects for inclusion in the RTIP, the CMAs and project sponsors must consider federal, state and regional policies and directives regarding non-motorized travel, including, but limited to, the following:

Federal Policy Mandates
TEA-21 states that, "Bicycle transportation facilities and pedestrian walkways shall be considered, where appropriate, in conjunction with all new construction and reconstruction of transportation projects, except where bicycle and pedestrian use are not permitted." (Section 1202)

The Federal Highways Administration Program Guidance on bicycle and pedestrian issues makes a number of clear statements of intent, and provides a best practices concept as outlined in the US DOT "Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure." (http://www.fhwa.dot.gov/environment/bikeped/Design.htm)

State Policy Mandates
California Government Code Section 65089(b)(1)(B)(5) requires that the design, construction and implementation of roadway projects proposed for funding in the RTIP must consider maintaining bicycle access and safety at a level comparable to that which existed prior to the improvement or alteration.

Caltrans Deputy Directive 64 (http://www.dot.ca.gov/hq/tpp/offices/bike/sites_files/DD-64-R1_Signed.pdf), states: "the Department fully considers the needs of non-motorized travelers (including pedestrians, bicyclists, and persons with disabilities) in all programming, planning, maintenance, construction, operations, and project development activities and products. This includes incorporation of the best available standards in all of the Department's practices. The Department adopts the best practices concept in the US DOT Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure."

Regional Policy Mandates
All projects programmed during the RTIP must consider the impact to bicycle transportation, pedestrians and persons with disabilities. The Complete Streets Checklist (also known as "Routine Accommodations Checklist") is incorporated as Part 6 of the Project Application. Furthermore, it is encouraged that all bicycle projects programmed in the RTIP support the Regional Bicycle Network. Guidance on considering bicycle transportation can be found in MTC's 2001 Regional Bicycle Plan (a component of the 2001 RTP) and Caltrans Deputy Directive 64. MTC's Regional Bicycle Plan, containing federal, state and regional polices for accommodating bicycles and non-motorized travel, is available on MTC's Web site at: http://www.mtc.ca.gov/planning/bicyclespedestrians/.

State Policies

Grant Anticipation Revenue Vehicle (GARVEE) Bonding

Chapter 862 of the Statutes of 1999 (SB 928) authorizes the State Treasurer to issue GARVEE bonds and authorizes the California Transportation Commission (CTC) to select projects for accelerated construction from bond proceeds. Bond repayment is made through annual set asides of the county share of future State Transportation Improvement Program (STIP) funds. Bond repayments are typically made over several STIP programming periods.

In accordance with state statute and the CTC GARVEE guidelines, GARVEE debt repayment will be the highest priority for programming and allocation within the particular county Regional Improvement Program (RIP) share until the debt is repaid. In the event that the RIP county share balance is insufficient to cover the GARVEE debt service and payment obligations, the RIP county share balance for that particular county will become negative through the advancement of future RIP county share. Should a negative balance or advancement of capacity be unattainable, then funding for other projects using RIP county share within that particular county would need to be reprogrammed or deleted, to accommodate the GARVEE debt service and payment obligations.

The CTC is responsible for programming the funds, derived from federal sources, as GARVEE debt service and the State Treasurer is responsible for making the debt service payments for these projects.

AB 3090 Project Replacement or Reimbursement

AB 3090 (Statutes of 1992, Chapter 1243) allows a local jurisdiction to advance a project included in the STIP to an earlier fiscal year through the use of local funds. With the concurrence of the appropriate transportation planning agency, the California Transportation Commission and Caltrans, one or more replacement state transportation project shall be identified and included in the STIP for an equivalent amount and in the originally scheduled fiscal year or a later year of the advanced project. Alternately, the advanced project can be reimbursed in the originally scheduled fiscal year or a later year.

Projects approved for AB 3090 consideration must award a contract within six months of the CTC approval. Section 2.c of the AB 3090 Policy, adopted by the CTC in April 2003 states, "The local agency commits to award a contract or otherwise begin delivery of the project component within 12 months of the Commission's approval, with the understanding that the arrangement may be cancelled if that condition is not met." Note that the CTC adopted a new 6 month award deadline in June 2006, and the 6 month deadline supercedes the April 2003 language.

The allocation of AB 3090 reimbursement projects is the highest priority in the MTC region.

SB 184 Advance Expenditure of Funds

SB 184 (Statutes of 2007, Chapter 462) authorizes a regional or local entity to expend its own funds for any component of a transportation project within its jurisdiction that is programmed in the current fiscal year and for which the Commission has not made an allocation. The amount expended would be authorized to be reimbursed by the state, subject to annual appropriation by the Legislature, if (1) the commission makes an allocation for, and the department executes a fund transfer agreement for, the project during the same fiscal year as when the regional or local expenditure was made; (2) expenditures made by the regional or local entity are eligible for reimbursement in accordance with state and federal laws and procedures; and (3) the regional or local entity complies with all legal requirements for the project, as specified.

MTC discourages the use of SB 184 since allocation of funds is not guaranteed. Therefore, sponsors are exposing themselves to the risk of expending local funds with no guarantee that the STIP funds will be allocated.

Should a sponsor want to proceed with an SB 184 request, the sponsor must notify the CMA, MTC and Caltrans in writing on agency letterhead in accordance with Caltrans Local Assistance procedures.

AB 608 Contract Award Provisions

AB 608 authorizes the adjustment by the CTC of a programmed project amount in the STIP if the Caltrans-sponsored construction contract award amount for a project is less than 80% of the engineer's final estimate, excluding construction engineering.

The CTC will not approve any AB 608 request after 120 days from the contract award. Sponsors intending to take advantage of AB 608 project savings must notify Caltrans and the CMA within 30 days of the contract award, to ensure the request to the CTC can be processed in time to meet the CTC's deadline.

State-Only Funding

In 2011, the State adopted AB 105, which eliminates the sales tax on gasoline and replaces it with a commensurate increase in the excise tax on gasoline. Excise taxes are deposited into the State Highway Account, which also includes federal funds. Therefore, projects programmed in the 2012 STIP will receive a combination of state and federal funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules, unless they are granted a state-only funding exception by the CTC.

Article XIX Compliance for Transit Projects

Article XIX of the California State Constitution restricts the use of State Highway Account (SHA) funds on transit projects. In order for existing and new projects to be programmed in the STIP, the project sponsor or the CMA must provide documentation that verifies the STIP transit project is either 1) eligible for federal funds, or 2) meets Article XIX requirements that only fixed guideway projects in a county that has passed a measure authorizing the use of SHA funds on transit projects may use SHA funds. Also refer to the next section regarding "Matching Requirements"

Matching Requirements on Highway and Transit Projects

A local match is not required for projects programmed in the STIP, except under special situations affecting projects subject to Article XIX restrictions established by the State Constitution. Article XIX limits the use of state revenues in the State Highway Account (SHA) to state highways, local roads, and fixed guideway facilities. Other projects, such as rail rolling stock and buses, are not eligible to receive state funds from the SHA. Article XIX restricted projects must therefore be funded with either a combination of federal STIP funding and matching STIP funds from the Pubic Transportation Account (PTA), or with 100 percent federal STIP funds in the State Highway Account (which requires a non-federal local match of 11.47% from a non-STIP local funding source or approved use of toll credits).

Project sponsors wishing to use STIP PTA funds as matching funds for Article XIX restricted projects must note such a request in the "Special Funding Conditions" section of the RTIP Application Nomination sheet, and obtain approval from Caltrans through the state-only approval

process as previously described. Otherwise, the CTC may assume any Article XIX restricted STIP project will be funded with 100 percent federal funds.

Santa Clara GARVEE Debt Service

In accordance with MTC Resolution No. 3538, the debt service for the I-880/Coleman Avenue, SR-87 HOV Lanes (SR 85 to I-280), and the SR-87 HOV Lanes (I-280-Julian Street) projects will be paid from the Santa Clara County RIP county share balance. In the event that the Santa Clara County RIP county share balance is insufficient to cover the GARVEE debt service and payment obligations, the Santa Clara County RIP county share balance will become negative through the advancement of future Santa Clara County RIP county share. Should a negative balance or advancement of capacity be unattainable, then funding for other projects using Santa Clara County RIP county share would need to be reprogrammed or deleted, to accommodate the GARVEE debt service and payment obligations. As of the 2012 RTIP, all Santa Clara GARVEE commitments have been fully programmed, and no new GARVEE commitments are due from Santa Clara's new 2012 RTIP county shares.

Transportation Enhancement Policies

Federal Transportation Enhancement (TE) Funds – TE Reserves

MTC has held half of the region's Transportation Enhancement funds in reserve for regional priorities to be identified through future policy decisions. MTC will continue to hold half of the region's TE funds in reserve in the 2012 RTIP for future identified regional project(s). The project(s) would be programmed in the last two years of the 2012 RTIP. MTC will evaluate the potential uses of the regional TE funds in conjunction with the development of the OneBayArea grant program and will provide a recommendation at a later date.

SB 286 TE Prioritization of Conservation Corps Implemented Projects

In an effort to increase Conservation Corps participation on Transportation Enhancement projects, the Legislature approved SB 286 (2008, Lowenthal), which directs regional agencies to prioritize TE projects that partner with the Conservation Corps. Caltrans, in consultation with state and local Conservation Corps, CTC, and regional agencies, developed criteria for the prioritization of such projects (dated July 6, 2009). Regional agencies are now required to select TE projects based on the following criteria:

1. TE eligible projects whose sponsor is partnering with or has agreed to employ the services of the state or local conservation corps, shall be selected first for funding;
2. After all TE eligible projects described in paragraph (1) have been selected for funding, the remaining eligible TE projects may be selected.

TE project candidates that meet the following specific categories are exempt from the above selection criteria and may compete on an equal basis with all project candidates in category (1) above:

a. Projects that have been selected and programmed in an RTIP prior to June 25, 2009.
b. Projects for which no corps will partner with the sponsor or agree to provide services. A project sponsor can request this exemption only by certifying on the TE application with the concurrence of the California Conservation Corps and the California Association of Local Conservation Corps. The application must indicate that the sponsor notified both

organizations about the available project, but that no corps in the state was prepared to serve as a partner or provide services.

Note that a TE application is required for any new TE project as the PSR equivalent. Congestion Management Agencies are required to consider the above criteria and exemptions when selecting projects for inclusion into the RTIP.

Front Loading of Federal Transportation Enhancement Projects

The California Transportation Commission will allow for the front loading of Transportation Enhancement funds in the 2012 STIP. Therefore, counties are able to request programming of new TE projects in the first three years of the STIP. Previously, new projects were only allowed in the last two years of the STIP. However, projects programmed in the early years of the STIP must be ready to allocate the funds in the year of programming.

Transportation Enhancement Project Pre-Review by Caltrans Local Assistance

In many instances, projects proposed for the Transportation Enhancement program of the STIP encounter a number of unanticipated environmental and schedule issues that delay the project, causing a need for STIP time extensions. In order to minimize these unanticipated obstacles to project delivery, MTC requires Caltrans pre-review of all proposed TE projects in the 2012 RTIP. After the Congestion Management Agencies submit their projects to MTC for inclusion into the RTIP, MTC will transmit all TE Project Programming Request (PPR) forms and approved TE Applications to Caltrans District 4 Local Assistance for an additional cursory review. Local Assistance Engineers and Environmental staff may recommend changes to the project schedule and cost, based on known project conditions and environmental considerations. These recommendations will be reviewed with MTC and the CMA before being updated in the final 2012 RTIP submittal or subsequent updates through the California Transportation Commission prior to final 2012 STIP adoption.

Transportation Enhancement Project Delivery Deadlines

In order to more closely align Transportation Enhancement project delivery dates with the summer construction season, MTC will enforce new deadlines for TE projects. All TE project sponsors must submit a full and complete CTC allocation and federal Request for Authorization (RFA) package to Caltrans District 4 by December 1 of the fiscal year in which the project is programmed. This will give sufficient time for Caltrans and CTC to allocate the funds by the following February in order to obligate the funds by March 31. Exceptions to the regional TE delivery deadlines may be granted for extraordinary circumstances, such as for instances where the project has a scheduled award later than six months after the allocation date, as prescribed by CTC STIP guidelines. Any exceptions will be reviewed by the respective CMA and MTC, and granted on a case-by-case basis.

General Guidance

Project Advancements

If a project or project component is ready for implementation earlier than the fiscal year that it is programmed in the STIP, the implementing agency may request an allocation in advance of the programmed year. The CTC will consider making advanced allocations based on a finding that the allocation will not delay availability of funding for other projects programmed in earlier years than the

project to be advanced and with the approval of the responsible regional agency if county share funds are to be advanced. Project advancements are unlikely during the 2012 STIP period. In project and financial planning, sponsors should not expect the CTC to advance any projects.

Programming to Reserves

The counties and the region may propose to leave county share STIP funds unprogrammed for a time to allow adequate consideration of funding options for future projects. The CTC particularly encourages Caltrans and the regional agencies to engage in early consultations to coordinate their ITIP and RTIP proposals for such projects. Counties intending to maintain an unprogrammed balance of its county share for future program amendments prior to the next STIP must include a statement of the intentions for the funds, including the anticipated use of the funds, as well as the amount and timing of the intended STIP amendment(s). However, access to any unprogrammed balance is subject to availability of funds, and is not expected to be approved by the CTC until the next STIP programming cycle.

Countywide RTIP Listing

By October 14, 2011, each county Congestion Management Agency or countywide transportation planning agency must submit to MTC a draft proposed countywide RTIP project listing showing the proposed programming of county shares. The final list is due to MTC by October 24, 2011, and must include the final project applications for any new projects added to the STIP (or any significantly revised existing STIP projects) and appropriate project level performance measure analysis.

Project Screening Criteria, Including Readiness

In addition to the CTC Guidelines, all projects included in the 2012 RTIP must meet all MTC project-screening criteria listed in Attachment C of this guidance. Of utmost importance are the project readiness requirements.

RTIP Applications

Project sponsors must complete an application for each new project proposed for funding in the RTIP, consisting of the items included in Attachment D of this guidance. In addition to MTC's Fund Management System (FMS) application, project sponsors are to use the Project Programming Request (PPR) forms provided by Caltrans for all projects. CMAs should submit PPRs for all projects (including existing projects with no changes) on the revised form provided by Caltrans. The nomination sheet must be submitted electronically for upload into the regional and statewide databases. Existing projects already programmed in the STIP with proposed changes should still submit Part 1: Resolution of Local Support of Attachment D, as well as propose an amendment in MTC's FMS, and submit both electronically and in hard copy a revised PPR provided by Caltrans.

STIP Performance Measures

The CTC continues to require performance measures into the RTIP and ITIP review process for the 2012 RTIP. According to the STIP guidelines, a regional, system-level performance report must be submitted along with the RTIP submission. MTC staff will compile this report, focusing on applying the measures at the Regional Transportation Plan (RTP) level. In addition, project-level performance measure data will be reviewed for new projects greater than $50 million or 50 percent of a county's available share. An example of the analysis for reference is included in Attachment D: 2012 RTIP

Project Application. The CMAs are required to submit the project-level performance measures to MTC by the final application due date.

Regional Projects

Applications for projects with regionwide or multi-county benefits should be submitted to both MTC and the affected county CMAs for review. Regional projects will be considered for programming in the context of other county project priorities. MTC staff will work with the affected parties (CMAs and project sponsors) to determine the appropriate level of funding for these projects and negotiate county contributions of the project cost. County contributions would be based on population shares of the affected counties, or other agreed upon distribution formulas.

85-115% Adjustments

MTC may, pursuant to Streets and Highways Code Section 188.8 (k), pool the county shares within the region, provided that each county shall receive no less than 85 percent and not more than 115 percent of its county share for any single STIP programming period and 100 percent of its county share over two STIP programming cycles.

MTC may recommend use of the 85%-115% rule provided for in SB 45 to ensure, as needed, that the proper scope of projects submitted for programming can be accommodated. MTC will also work with CMAs to recommend other options, such as phased programming across STIP cycles, to ensure that sufficient funding and concerns such as timely use of funds are adequately addressed.

Timely Use of Funds Provisions and Deadlines

SB 45 established strict timely use of funds and project delivery requirements for transportation projects programmed in the STIP. Missing critical milestones could result in deletion of the project from the STIP, and a permanent loss of the funds to the county and region. Therefore, these timely use of funds deadlines must be considered in programming the various project phases in the STIP. While SB 45 provides some flexibility with respect to these deadlines by allowing for deadline extensions under certain circumstances, the CTC has made it very clear that deadline extensions will be the exception rather than the rule. See Attachment 2 to MTC Resolution No. 4028 for specific timely use of funds deadlines.

Notice of Cost Increase

For projects with a total estimated cost over $25 million, the implementing agency must perform quarterly project cost evaluations. If a cost increase greater than 10 percent of the total estimated cost of the particular phase is identified, the implementing agency must notify and submit updated STIP Project Programming Request (PPR) form to the appropriate CMA and MTC. In the event that a project is divided into sub-elements, the implementing agency will include all project sub-elements (i.e. landscaping, soundwalls, adjacent local road improvements) in the quarterly cost evaluation.

Early notification of cost increases allows the CMA and MTC to assist in developing strategies to manage cost increases and plan for future county share programming.

Cost Escalation for Caltrans-Implemented Projects

In recent months, CTC has been very critical of unexpected cost increases to projects funded by the STIP. In order to ensure that the amounts programmed in the STIP are accurate, MTC encourages the CMAs to consult with Caltrans and increase Caltrans project costs by an agreed-upon escalation rate if funds are proposed to be shifted to a later year. This will currently only apply to projects implemented by Caltrans.

Notice of Contract Award

Caltrans has developed a procedure (Local Programs Procedures LPP-01-06) requiring project sponsors to notify Caltrans immediately after the award of a contract. Furthermore, Caltrans will not make any reimbursements for expenditures until such information is provided. Project sponsors must also notify MTC and the appropriate CMA immediately after the award of a contract. To ensure proper monitoring of the Timely Use of Funds provisions of SB 45, project sponsors are required to provide MTC and the county CMA with a copy of the LPP-01-06 "Award Information for STIP Projects – Attachment A" form, when it is submitted to Caltrans. This will assist MTC and the CMA in maintaining the regional project monitoring database, and ensure accurate reporting on the status of projects in advance of potential funding lapses. In accordance with CTC and Caltrans policies, construction funds must be encumbered in a contract within six months of allocation.

METROPOLITAN TRANSPORTATION COMMISSION 2012 Regional Transportation Improvement Program Final Development Schedule September 28, 2011	
March 23, 2011	Caltrans presentation of draft STIP Fund Estimate Assumptions (CTC Meeting – San Diego)
May 11, 2011	CTC adoption of STIP Fund Estimate Assumptions (CTC Meeting – Los Angeles)
June 20, 2011	Partnership Technical Advisory Committee (PTAC) / Programming and Delivery Working Group (PDWG) discussion and review of initial issues and schedule for 2012 RTIP
June 22, 2011	Caltrans presentation of the draft STIP Fund Estimate and draft STIP Guidelines (CTC Meeting – Long Beach)
June 30, 2011	Governor signs State Budget
July 18, 2011	PTAC and PDWG review of proposed RTIP Policies and Procedures
July 27, 2011	CTC holds 2012 Fund Estimate Workshop and STIP Guidelines Hearing (Sacramento)
August 10, 2011	CTC adopts STIP Fund Estimate and STIP Guidelines (CTC Meeting – Sacramento)
September 2, 2011	Draft RTIP Policies and Procedures published online and emailed to stakeholders for public comment
September 14, 2011	MTC Programming and Allocations Committee (PAC) scheduled review and recommendation of final proposed RTIP Policies and Procedures
September 28, 2011	MTC Commission scheduled adoption of RTIP Policies and Procedures
October 14, 2011	CMAs submit to MTC, RTIP projects summary listings and identification of projects requiring project-level performance measure analysis. Deadline to submit Routine Accommodations Checklist for new projects.
October 17, 2011	PTAC scheduled review of draft RTIP
October 24, 2011	Final Project Programming Request (PPR) forms due to MTC. Final RTIP project listing and performance measure analysis due to MTC. Final PSR (or PSR Equivalent), Transportation Enhancement Application (approved by Caltrans), Resolution of Local Support, and Certification of Assurances due to MTC (**Final Complete Applications due**)
October 28, 2011	MTC submits Transportation Enhancement projects and applications to Caltrans District 4 for Local Assistance review
November 7, 2011	Draft RTIP scheduled to be available for public review
November 9, 2011	PAC scheduled review of RTIP and referral to Commission for approval
November 16, 2011	MTC Commission scheduled approval of 2012 RTIP
December 15, 2011	2012 RTIP due to CTC
February 1, 2012	CTC 2012 STIP Hearing – Southern California (Los Angeles)
February 8, 2012	CTC 2012 STIP Hearing – Northern California (CTC Meeting - Sacramento)
March 8, 2012	CTC Staff Recommendations on 2012 STIP released
March 28, 2012	CTC adopts 2012 STIP (CTC Meeting – Sacramento)

Shaded Area – Actions by Caltrans or CTC

MTC Resolution No. 4028
Attachment 1-B

Final 2012 STIP Fund Estimate County Targets

9/1/2011

Metropolitan Transportation Commission

All numbers in thousands

Table 1: County Share Targets

	a	b	a+b=c	d	e	c+d+e=f	g	f+g
	FY 2015-16 New Distrib.	FY 2016-17 New Distrib.	2012 STIP New Distrib.	2010 STIP Carryover Balance	Lapses*	2012 STIP Net Capacity	ARRA Backfill (Caldecott)	2012 STIP CMA Program Capacity
Alameda	8,910	20,348	**29,258**	5,414	700	**35,372**	(2,000)	**33,372**
Contra Costa	6,079	13,881	**19,960**	43,493	13,475	**76,928**	(29,000)	**47,928**
Marin	1,661	3,792	**5,453**	(35,192)	100	**(29,639)**		**0**
Napa	1,093	2,497	**3,590**	445	667	**4,702**		**4,702**
San Francisco	4,504	10,283	**14,787**	(1,673)	0	**13,114**		**13,114**
San Mateo	4,649	10,617	**15,266**	6,524	887	**22,677**		**22,677**
Santa Clara	10,560	24,115	**34,675**	(42,409)	0	**(7,734)**		**0**
Solano	2,749	6,277	**9,026**	345	721	**10,092**		**10,092**
Sonoma	3,424	7,819	**11,243**	(21,696)	985	**(9,468)**		**0**
Bay Area Totals	**43,629**	**99,629**	**143,258**	**(44,749)**	**17,535**	**116,044**	**(31,000)**	**131,885**

Note: New County Share Total is the sum of unprogrammed balances, lapses, and new capacity for FY 2015-16 and FY 2016-17. Counties with negatives have a "$0" new share.
* Prior year lapsed funds returned to county share.

Table 2: Transportation Enhancement Targets

	New TE Share	MTC 50% Share	CMA 50% Discretion	FY 2015-16 New Distrib.	FY 2016-17 New Distrib.
Alameda	**4,358**	2,179	2,179	2,196	2,162
Contra Costa	**2,973**	1,487	1,486	1,498	1,475
Marin	**813**	406	407	410	403
Napa	**534**	267	267	269	265
San Francisco	**2,202**	1,101	1,101	1,110	1,092
San Mateo	**2,274**	1,137	1,137	1,146	1,128
Santa Clara	**5,164**	2,582	2,582	2,602	2,562
Solano	**1,345**	673	672	678	667
Sonoma	**1,675**	837	838	844	831
Bay Area Totals	**21,338**	**10,669**	**10,669**	**10,753**	**10,585**

Note: New TE funds are split 50-50 between the Counties and MTC. TE Targets are a subset of Table 1.

Table 3: Planning, Programming, and Monitoring Amounts
FY 12-13 through FY 15-16 and FY 16-17

	PPM Limit FY13 - FY16	Currently Programmed	MTC Share FY 16 PPM	CMA Share FY 16 PPM	PPM Limit FY 17	MTC Share FY 17 PPM	CMA Share FY 17 PPM
Alameda	**2,793**	2,347	126	**320**	**1,017**	131	**886**
Contra Costa	**1,825**	1,521	82	**222**	**694**	85	**609**
Marin	**528**	445	23	**60**	**190**	24	**166**
Napa	**330**	112	14	**204**	**125**	15	**110**
San Francisco	**1,426**	1,201	64	**161**	**514**	67	**447**
San Mateo	**1,479**	1,247	67	**165**	**531**	69	**462**
Santa Clara	**3,277**	2,502	147	**628**	**1,206**	153	**1,053**
Solano	**857**	720	39	**98**	**314**	40	**274**
Sonoma	**1,049**	877	47	**125**	**391**	48	**343**
Bay Area Totals	**13,564**	**10,972**	**609**	**1,983**	**4,982**	**632**	**4,350**

J:\PROJECT\Funding\RTIP\12 RTIP\[Final 2012 STIP FE Targets 2011-09-01.xls]Sheet1

2012 Regional Transportation Improvement Program
Policies, Procedures and Project Selection Criteria
Attachment C: 2012 RTIP Project Screening Criteria

Eligible Projects

A. **Eligible Projects.** SB 45 (Chapter 622, Statutes 1997) expanded the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety. Due to the current fund make up of the STIP, sponsors should expect that all projects programmed in the STIP should be eligible for federal funds.

Planning Prerequisites

B. **RTP Consistency.** Projects included in the RTIP must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires to be consistent with federal planning and programming requirements. Each project to be included in the RTIP must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number and/or RTP travel corridor and whether the project is to be credited against the county's transit capital shortfall target.

C. **CMP Consistency.** Local projects must also be included in a County Congestion Management Plan (CMP), or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to inclusion in the RTIP.

D. **PSR or PSR Equivalent is Required.** Projects in the STIP must have a complete project study report or, for a project that is not on a state highway, a project study report equivalent or major investment study. The intent of this requirement is to ensure that the project scope, cost and schedule have been adequately defined and justified. Projects with a circulating draft or final environmental document do not need a PSR. This requirement is particularly important in light of SB 45 timely use of funds requirements, discussed below.

   The required format of a PSR or PSR equivalent varies by project type. Additional guidance on how to prepare these documents is available on the internet at the addresses indicated within Part 3 (Project Study Report (PSR), or equivalent) of Attachment D: 2012 RTIP Project Application, which includes a table categorizing PSR and PSR equivalent requirements by project type.

Project Costs and Phases

E. **Escalated Costs.** All projects will count against share balances on the basis of their fully escalated (inflated) costs. All RTIP project costs must be escalated to the year of expenditure.

   As required by law, inflation estimates for Caltrans operations (support) costs are based on the annual escalation rate established by the Department of Finance.

Local project sponsors may use the state escalation rates or their own rates in determining the escalated project cost in the year programmed.

F. Project Phases. Projects must be separated into the following project components:

1. Completion of all studies, permits and environmental studies (ENV)
2. Preparation of all Plans, Specifications, and Estimates (PS&E)
3. Acquisition of right-of-way (ROW)
4. Construction and construction management and engineering, including surveys and inspections." (CON)
   Note: Right-of-way and construction components on Caltrans projects must be further separated into capital costs and Caltrans support costs (ROW-CT and CON-CT).

The project sponsor/CMA must display the project in these four components (six for Caltrans projects) in the final submittal. STIP funding amounts programmed for any component shall be rounded to the nearest $1,000. Additionally, unless substantially justified, no project may program more than one project phase in a single fiscal year. Caltrans-sponsored projects are exempt from this prohibition. Additionally, right of way (ROW) funds may be programmed in the same year as final design (PS&E) if the environmental document is approved. ROW funds may be programmed in the same year as construction (CON) only if the project does not have significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals (see section L).

All requests for funding in the RTIP for projects on the state highway system and implemented by an agency other than the Department must include the Caltrans Assurance of Quality (CAQ) fee within each project component cost, as identified in the cooperative agreement. This is to ensure sufficient funding is available for the project component, and, if necessary, that the additional ten percent CAQ fee is included within the RIP funding.

G. Minimum Project Size. New projects or the sum of all project components per project cannot be programmed for less than $500,000 for counties with a population over 1 million (from 2010 U.S. Census data: Alameda, Contra Costa, and Santa Clara Counties), and $250,000 for counties with a population under 1 million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma Counties), with the following exceptions:

(a) Funds used to match federal funds;
(b) Planning, Programming and Monitoring (PPM);
(c) Projects for landscaping and mitigation of State highway projects, including soundwalls;
(d) Caltrans project support components not allocated by the Commission; and
(e) Right-of-way capital outlay for Caltrans, which is not allocated by the Commission on a project basis.
(f) Other exceptions may be made on a case-by-case basis.

H. Fiscal Years of Programming. The 2012 STIP covers the five-year period from FY 2012-13 though 2016-17. The 2012 STIP may contain new targets for each fiscal year, which may require counties to delay certain projects in order to match the new targets. If a project will not be ready for allocation in a certain year, project sponsors delay funds to a later year of the five-year STIP period.

Readiness Standards

I. **Project Phases Must Be Ready in the Year Proposed.** Funds designated for each project component will only be available for allocation until the end of the fiscal year in which the funds are programmed in the STIP. Once allocated, the sponsor will have two additional years to expend funds. For construction, the sponsor will have six months to award a contract and three years to expend funds. Project sponsors must invoice at least once in a six-month period following the allocation of funds. It is therefore very important that projects be ready to proceed in the year programmed.

J. **Completion of Environmental Process.** Government Code Section 14529(c) requires that funding for right-of-way acquisition and construction for a project may be included in the STIP only if the CTC makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five year STIP period. Furthermore, in compliance with Section 21150 of the Public Resources Code, the CTC may not allocate funds to local agencies for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA). Therefore, project sponsors must demonstrate to MTC that these requirements can be reasonably expected to be met prior to programming right-of-way or construction funds in the RTIP.

K. **Programming Project Components in Sequential STIP Cycles.** Project components may be programmed sequentially. That is, a project may be programmed for environmental work only, without being programmed for plans, specifications, and estimates (design). A project may be programmed for design without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. The CTC recognizes a particular benefit in programming projects for environmental work only, since projects costs and particularly project scheduling often cannot be determined with meaningful accuracy until environmental studies have been completed. As the cost, scope and schedule of the project is refined, the next phases of the project may be programmed with an amendment or in a subsequent STIP.

   When proposing to program only preconstruction components for a project, the implementing agency must demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan. The anticipated total project cost and source of any uncommitted future funding must be identified.

L. **Sequential Phasing.** For most projects, the different project phases should be programmed sequentially in the STIP, i.e. environmental before design before right of way before construction. Projects with significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals, must not be programmed with the right of way and construction components in the same year as the environmental. Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of design, right of way or construction. As prescribed in Section F, projects may not have more than one phase programmed per fiscal year, with the exceptions of Caltrans-sponsored preconstruction

phases, and right of way (ROW) funds programmed with final design (PS&E) or construction (CON) where there are no significant ROW acquisitions necessary.

M. The Project Must Be Fully Funded. All local projects must be accompanied by an authorizing resolution stating the sponsor's commitment to complete the project as scoped with the funds requested. A model resolution including the information required is outlined in Attachment D - Part 1 of this guidance.

The CTC will program a project component only if it finds that the component itself is fully funded, either from STIP funds or from other committed funds. The CTC will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including RSTP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

All regional agencies with rail transit projects shall submit full funding plans describing each overall project and/or useable project segment. Each plan shall list Federal, State, and local funding categories by fiscal year over the time-frame that funding is sought, including funding for initial operating costs. Moreover, should the project schedule exceed the funding horizon, then the amount needed beyond what is currently requested shall be indicated. This information may be incorporated in the project application nomination sheets.

N. Field Review for Federally Funded Local Projects. One way to avoid unnecessary STIP amendment and extension requests is to conduct a field review as early as possible, so potential issues may be identified with sufficient time for resolution.

For all projects in the 2012 RTIP (anticipated to be a mix of federal and state funding), the project sponsor agrees to contact Caltrans and schedule and make a good faith effort to complete a project field review within 6-months of the project being included in the Transportation Improvement Program (TIP). For the 2012 STIP, Caltrans field reviews should be completed by September 1, 2012 for federal aid projects programmed in 2012-13 and 2013-14. The requirement does not apply to planning activities, state-only funded projects, or STIP funds to be transferred to the Federal Transit Administration (FTA).

O. TE Project Pre-Review by Caltrans Local Assistance. In many instances, projects proposed for the Transportation Enhancement program of the STIP encounter a number of unanticipated environmental and schedule issues that delay the project, causing a need for STIP time extensions. In order to minimize these unanticipated obstacles to project delivery, the MTC requires Caltrans pre-review of all proposed TE projects in the 2012 RTIP. After the Congestion Management Agencies submit their projects to MTC for inclusion into the RTIP, MTC will transmit all TE Project Programming Request (PPR) forms and approved TE Applications to Caltrans District 4 Local Assistance for an additional cursory review. Local Assistance Engineers and Environmental staff may recommend changes to the project schedule and cost, based on known project conditions and environmental considerations. These recommendations will be reviewed with MTC and the CMA

before being updated in the final 2012 RTIP submittal or subsequent updates through the California Transportation Commission prior to final 2012 STIP adoption.

Other Requirements

P. **Availability for Audits.** Sponsors must agree to be available for an audit if requested. Government Code Section 14529.1 "The commission [CTC] shall request that the entity receiving funds accept an audit of funds allocated to it by the commission, if an audit is deemed necessary."

Q. **Interregional Projects May Be Proposed Under Some Restrictive Circumstances.** The project must be a usable segment and be more cost-effective than a Caltrans alternative project. Government Code Section 14527 (c) "A project recommended for funding by the RTPA in the Interregional Improvement Program shall constitute a usable segment, and shall not be a condition for inclusion of other projects in the RTIP." Government Code Section 14529 (k) "... the commission [CTC] must make a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department..."

R. **Premature Commitment of Funds.** The project sponsor may not be reimbursed for expenditures made prior to the allocation of funds by the CTC (or by Caltrans under delegation authority), unless the provisions of Senate Bill 184 are met in accordance with the CTC Guidelines for Implementation of SB 184. Under no circumstances may funds be reimbursed for expenditures made prior to the funds being programmed in the STIP or prior to the fiscal year in which the project phase is programmed. In addition, the sponsor must make a written request to Caltrans prior to incurring costs, in accordance with Caltrans Locals Assistance Procedures for SB 184 implementation.

S. **State-Only Funding.** The 2012 RTIP is expected to be funded with a mix of federal and state funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules, unless they are granted a state-only funding exception by the CTC. Project sponsors are expected to meet all requirements of Article XIX in selecting projects receiving state-only funding. This includes sponsors or the CMA providing documentation verifying the county passed a measure allowing for the use of State Highway Account funds on fixed guideway projects, should RTIP funds be proposed for use on non-federalized fixed guideway transit projects.

T. **Federal Transportation Improvement Program.** All projects programmed in the STIP must also be programmed in the federal Transportation Improvement Program (TIP), regardless of fund source. Project sponsors are encouraged to submit TIP amendment requests immediately following inclusion of the project into the STIP by the CTC. The project listing in the TIP must include total project cost by phase regardless of the phase actually funded by the CTC. STIP projects using federal funds (such as the Transportation Enhancement (TE) projects) will not receive federal authorization to proceed without the project being properly listed in the TIP.

U. **Agency Single Point of Contact.** Project sponsors shall assign a single point of contact within the agency to address programming and project delivery issues that may arise during the project life cycle. The name, title, and contact information of this person shall be furnished to the CMA and MTC at the time of project application submittal.

2012 Regional Transportation Improvement Program (RTIP)
Attachment D: 2012 RTIP Project Application

Project sponsors must submit a completed project application for each project proposed for funding in the 2012 RTIP. The application consists of the following five to six parts and are available on the Internet (as applicable) at: http://www.mtc.ca.gov/funding/

1a. Resolution of local support *
1b. Opinion of legal counsel *
2. Local agency certification of assurances
3. Project Study Report (PSR), or equivalent
4. RTIP Project Programming Request (PPR) form (with maps) (must be submitted electronically)
5. Performance Measures Worksheet (if applicable)
6. Routine Accommodations Checklist (if applicable: check with CMA or on MTC's website, listed above)

* Project sponsor has the option to incorporate language into the Resolution of Local support – see note below

* NOTE: Project sponsors have the option of consolidating the 'Opinion of Legal Counsel' within the Resolution of Local Support, by incorporating the following statements into the Resolution of Local Support:

Resolved, that (agency name) is an eligible sponsor of projects in the State Transportation Improvement Program; and be it further

Resolved, that (agency name) is authorized to submit an application for State Transportation Improvement Program funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for Regional Improvement Program funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

If the above language is not provided within the Resolution of Local Support, an Opinion of Legal Counsel is required as provided in Part 1b.

RTIP Project Application

Part 1: Sample Resolution of Local Support

Resolution No. _____

WHEREAS, (INSERT AGENCY NAME HERE) (herein referred to as "APPLICANT") is submitting an application to the Metropolitan Transportation Commission (MTC) for (INSERT RTIP FUNDING $ AMOUNT HERE) in funding from the 2012 Regional Transportation Improvement Program (RTIP) for the (INSERT PROJECT TITLE(S) HERE) (herein referred to as "PROJECT" or "PROJECTS") for the MTC 2012 RTIP, as authorized by MTC by Resolution No. 4028 (herein referred to as "PROGRAM"); and

WHEREAS, SB 45 (Chapter 622, Statutes 1997) substantially revised the process for estimating the amount of state and federal funds available for transportation projects in the state and for appropriating and allocating the available funds to these projects; and

WHEREAS, as part of that process, MTC is responsible for programming projects eligible for Regional Improvement Program funds, pursuant to California Government Code Section 14527(b), for inclusion in the RTIP, and submission to the California Transportation Commission, for inclusion in the State Transportation Improvement Program; and

WHEREAS, MTC will review and include, if approved, 2012 RTIP projects in the federal Transportation Improvement Program (TIP); and

WHEREAS, MTC has requested eligible transportation project sponsors to submit applications nominating projects to be programmed for Regional Improvement Program funds in the RTIP; and

WHEREAS, applications to MTC must be submitted consistent with procedures, conditions, and forms it provides transportation project sponsors; and

WHEREAS, APPLICANT is a sponsor of transportation projects eligible for Regional Improvement Program funds; and

WHEREAS, the RTIP Project Programming Request (PPR) form of the project application, attached hereto and incorporated herein as though set forth at length, lists the project, purpose, schedule and budget for which APPLICANT is requesting that MTC program Regional Improvement Program funds for inclusion in the RTIP; and

WHEREAS, Part 2 of the project application, attached hereto and incorporated herein as though set forth at length, includes the certification by APPLICANT of assurances required by SB 45 in order to qualify the project listed in the RTIP project nomination sheet of the project application for programming by MTC; and

WHEREAS, as part of the application for 2012 RTIP funding, MTC requires any resolution adopted by the responsible implementing agency to state that the project will comply with the procedures

specified in the "Timely Use of Funds Provisions and Deadlines" (MTC Resolution No. 4028, Attachment 1, Page 14, and as may be further amended).

NOW, THEREFORE, BE IT RESOLVED, that APPLICANT approves the assurances set forth in Part 2 of the project application, attached to this resolution; and be it further

RESOLVED, that APPLICANT will comply with the provisions and requirements of the "Timely Use of Funds Provisions and Deadlines" (MTC Resolution No. 4028, Attachment 1, Page 14, and as may be further amended), that PROJECT will be implemented as described in the complete application and in this resolution and, if approved, for the amount programmed in the MTC federal TIP, and that APPLICANT and PROJECT will comply with the requirements as set forth in the 2012 RTIP Policies and Procedures (MTC Resolution No. 4028); and therefore be it further

RESOLVED, that APPLICANT will comply with the provisions and requirements of the Transit Coordination Implementation Plan, as set forth in MTC Resolution No. 3866; and be it further

RESOLVED, that APPLICANT has reviewed the project and has adequate staffing resources to deliver and complete the project within the schedule set forth in the RTIP Project Programming Request (PPR) form of the project application, attached to this resolution; and be it further

RESOLVED, that APPLICANT is an eligible sponsor of projects in the State Transportation Improvement Program; and be it further

RESOLVED, that APPLICANT is authorized to submit an application for State Transportation Improvement Program funds for PROJECT; and be it further

RESOLVED, that APPLICANT has and will retain the expertise and knowledge necessary to deliver STIP and federally-funded projects, and has assigned a single point of contact for all STIP and FHWA-funded projects to work with the CMA, MTC, and Caltrans on any questions or issues that may arise during the STIP and/or federal programming and delivery process; and be it further

RESOLVED, that there is no legal impediment to APPLICANT making applications for Regional Improvement Program funds; and be it further

RESOLVED, that there is no pending or threatened litigation which might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED, that APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC to program Regional Improvement Program funds into the RTIP, for the projects, purposes and amounts included in the project application attached to this resolution; and be it further

RESOLVED, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the APPLICANT application referenced herein, along with the name and contact information for the APPLICANT's single point of contact.

RTIP Project Application

Part 1b: Sample Opinion of Legal Counsel

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Part 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the State Transportation Improvement Program; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided below.

(Date)

To: Metropolitan Transportation Commission
Fr: (Applicant)
Re: Eligibility for State Transportation Improvement Program (STIP) funds

This communication will serve as the requisite opinion of counsel in connection with the application of (Applicant) _____ for funding from the State Transportation Improvement Program (STIP) made available pursuant to the State Transportation Funding Plan, Streets and Highways Code Section 163 *et. seq.*

1. (Applicant)_____ is an eligible sponsor of projects for the STIP.
2. (Applicant) _____ is authorized to submit an application for STIP funding for (project) _____.
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) _____ making applications for STIP funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation which might in any way adversely affect the proposed projects, or the ability of (Applicant) _____ _____ to carry out such projects.

Sincerely,

_____
Legal Counsel

_____
Print name

RTIP Project Application
Part 2: Certification of Assurances

The implementing agency certifies that the project for which Regional Improvement Program funding is requested meets the following project screening Criteria. **Please initial each.**

1. The project is eligible for consideration in the RTIP. Pursuant to Streets and Highways Code Section 164 (e), eligible projects include improving state highways, local roads, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety. _____
2. For the funds requested, no costs have/will be incurred prior to adoption into the STIP by the CTC. _____
3. A Project Study Report (PSR) or PSR equivalent has been prepared for the project. _____
4. The project budget included in Part 2 of the project application reflects current costs updated as of the date of application and escalated to the appropriate year. _____
5. The project is included in a local congestion management program (CMP). (Note: For those counties that have opted out of preparing a CMP in accordance with Government Code Section 65088.3, the project must be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation planning agency.) _____
6. The year of funding for any design, right-of-way and/or construction phases has taken into consideration the time necessary to obtain environmental clearance and permitting approval for the project. _____
7. The project is fully funded. _____
8. For projects with STIP federal funds, the implementing agency agrees to contact Caltrans and schedule and complete a field review within six months of the project being adopted or amended into the TIP. _____
9. For STIP construction funds, the implementing agency agrees to send a copy of the Caltrans LPP 01-06 "Award Information for STIP Projects – Attachment A" to MTC and the CMA, upon award. _____
10. The implementing agency agrees to be available for an audit of STIP funds, if requested. _____

The implementing agency also agrees to abide by all statutes, rules and regulations applying to the State Transportation Improvement Program (STIP), and to follow all requirements associated with the funds programmed to the project in the STIP. _____

These include, but are not limited to:

1. Environmental requirements: NEPA standards and procedures for all projects with Federal funds; CEQA standards and procedures for all projects programmed with State funds.
2. California Transportation Commission (CTC) requirements for transit projects, formerly associated with the Transit Capital Improvement (TCI) program. These include rules governing right-of-way acquisition, hazardous materials testing, and timely use of funds.
3. Federal Transit Administration (FTA) requirements for transit projects as outlined in FTA regulations and circulars.
4. Federal Highway Administration (FHWA) and Caltrans requirements for highway and other roadway projects as outlined in the Caltrans Local Programs Manual.
5. Federal air quality conformity requirements, and local project review requirements, as outlined in the adopted Bay Area Conformity Revision of the State Implementation Plan (SIP).

RTIP Project Application

Part 3: Project Study Report (PSR), or equivalent

The required format of a PSR or PSR equivalent varies by project type. The following table categorizes PSR and PSR equivalent requirements by project type. Additional guidance on how to prepare these documents is available on the Internet at the addresses indicated below, or from MTC.

Project Study Report (PSR) Requirements
PSR and Equivalents by Project Type

Project Type	Type of Document Required *	Where to get more information
State Highway	Full PSR or PD/ENV Only	*http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm*
Local Roadway a. rehabilitation	PSR for local rehabilitation	*http://www.dot.ca.gov/hq/LocalPrograms/public.htm* then look in "13. Project Study Report (Local Rehabilitation)"
b. capacity increasing or other project	PSR equivalent – project specific study with detailed scope and cost estimate	In most cases completing the Preliminary Environmental Study and Field Review forms in the Local Assistance Procedures Manual should be sufficient. These forms can be found at: Preliminary Environmental-- *http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm* then look in chapter 6 pg 6-31. Field Review -- *http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm* then look in chapter 7 pg 7-13.
Transit	State of California Uniform Transit Application	*http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/state-uta-app-091906.pdf*
Traffic Congestion Relief (TCR) Program projects (Specific phase)	TCR program application for the phases of work included in the TCR application	For a Traffic Congestion Relief (TCR) Program project, a TCR program application is considered a PSR equivalent for the phases of work included in the TCR application *http://www.dot.ca.gov/hq/transprog/ocip.htm*
Transportation Enhancements	Transportation Enhancement (TE) Application	*http://www.dot.ca.gov/hq/TransEnhAct/app_pgs.htm*
Other	PSR equivalent with detailed scope and cost estimate	To be determined on a case by case basis

* In some instances a Major Investment Study (MIS) prepared under federal guidance may serve as a PSR equivalent where information provided is adequate for programming purposes.

RTIP Project Application

Part 4: Project Programming Request (PPR) Form

Applicants are required to submit a Project Programming Request (PPR) form in order to be considered for funding from the 2012 RTIP.

The PPR for new projects can be downloaded from the following location:
http://www.dot.ca.gov/hq/transprog/ocip/pprs/PPR%20-%20New%20Projects%20-%206-7-11_FY%2012-13%20thru%2017-18.xls

The PPRs for existing projects can be downloaded from the following location:
http://www.dot.ca.gov/hq/transprog/ocip/pprs/pprs_2012/pprs_2012.htm

Part 5: Performance Measures Worksheet

Applicants submitting nominations for projects with total project costs exceeding $50 million, or using over 50% of a county share (for the county share period) are required to submit a Performance Measure Worksheet.

The Worksheet template is available at the following location:
http://www.catc.ca.gov/programs/stip.htm

Select the "2012 STIP Guidelines" document. The template begins on page 40 of the guidelines, under "Appendix B: Performance Indicators, Measures, and Definitions".

Part 6: Complete Streets Checklist

Applicants are required to include the Complete Streets (Routine Accommodations) Checklist with the application submittal to MTC for projects that will have an impact on bicycles or pedestrians. The Checklist is available from the Congestion Management Agencies and at the MTC website at http://www.mtc.ca.gov/planning/bicyclespedestrians/routine_accommodations.htm.

2012
Regional Transportation Improvement Program

STIP Amendments / Extensions
Rules and Procedures

September 28, 2011

MTC Resolution No. 4028
Attachment 2

Metropolitan Transportation Commission
Programming and Allocations Section
http://www.mtc.ca.gov/funding.htm

RTIP
Regional Transportation Improvement Program

STIP Amendments / Extensions
Rules and Procedures
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Regional Transportation Improvement Program (RTIP)
STIP Amendments / Extensions Rules and Procedures

What is the STIP?
The State Transportation Improvement Program (STIP) is the State's spending program for state and federal funding. The STIP is comprised of the Regional Transportation Improvement Program (RTIP) and the Interregional Transportation Improvement Program (ITIP). The program is updated every two years and currently covers a five-year period. STIP funded projects, like all other state and federally funded projects, must be listed in the TIP in order for the sponsor to access the funding. This biennial STIP process is outlined in the attached "STIP Process".

Seventy-five percent (75%) of the funding in the STIP flows to regions by formula through their RTIPs. Regions throughout the state are charged with developing an expenditure plan for the funds. Eligible project types include improvements to state highways, local roads, public transit, intercity rail, pedestrian and bicycle facilities, grade separations, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

The remaining 25% of the funding flows to the ITIP, which is a statewide competitive program. This funding is directed to projects that improve interregional transportation. Eligible project types include intercity passenger rail, mass transit guideways, grade separation, and state highways.

When are Amendments and Extensions Allowed?

STIP Amendments
An amendment may change the cost, scope or schedule of a STIP project and its components. For instance, if the final cost estimate for a project is higher (or lower) than the amount programmed, a STIP amendment may be requested to increase or (decrease) the amount programmed. Or, as a project progresses through project development, it may be time to add the next component or phase. Likewise, if the project schedule is delayed significantly, an amendment may be warranted to request a change in program year of the funding in order to prevent a funding lapse. STIP amendments may also be requested to delete project funding or to add a new project into the STIP.

Important Tip: Once a state fiscal year (July 1 – June 30) has begun, the CTC will not allow STIP amendments to delete or change the funding programmed in that fiscal year. Instead, the project sponsor may request a one-time extension as described below.

One-time Extension Requests
SB 45 established deadlines for allocation, contract award, expenditure and reimbursement of funds for all projects programmed in the STIP. The CTC may, upon request, grant a one-time extension to each of these deadlines for up to 20 months. However, the CTC will only

grant an extension if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Furthermore, the extension will not exceed the period of delay directly attributable to the extraordinary circumstance. Generally, the CTC does not grant extensions longer than 12 months. Additionally, project sponsors must be present at the CTC meeting where action is taken on any extension request, to answer questions the CTC staff or commissioners may have.

Roles and Responsibilities

The STIP Amendment and Extensions process requires review and approval by various agencies to ensure the action requested is appropriate, and consistent with state statutes, CTC guidance, Caltrans procedures and regional policies. Projects must be included in a county Congestion Management Program (CMP) or county Capital Improvement Program (CIP), and must be consistent with the Regional Transportation Plan (RTP) to be programmed in the RTIP. Therefore, any additions or changes that may impact the priorities established within these documents must be reviewed and approved by the appropriate agency. Furthermore, improperly programmed funds or missed deadlines could result in funding being permanently lost to the region.

Project sponsors are responsible for reviewing and understanding the procedures, guidance and regulations affecting projects programmed in the STIP. Each project manager and the individual responsible for submitting documentation for STIP amendments and extensions must have read and understood these policies and procedures, particularly the CTC STIP Guidelines available on the internet at http://www.dot.ca.gov/hq/transprog/ocip.htm and the MTC RTIP Policies and Application Procedures posted on the internet at: http://www.mtc.ca.gov/funding/. Project sponsors are ultimately responsible for ensuring the required documentation is provided to Caltrans by the deadlines established by Caltrans for all allocations, extensions, and additional supplemental funds requests.

The Congestion Management Agencies/Transportation Authorities are responsible for ensuring the packages submitted by the project sponsors are complete, and the proposed changes are consistent with the Regional Transportation Plan (RTP), and Congestion Management Plans (CMPs) or Capital Improvement Program (CIP). The CMAs/TAs check to ensure the proposed changes meet MTC, CTC and other state or federal guidance and regulations. As mentioned in the Guiding Principles of the 2012 RTIP Policies and Procedures, the CMA must consider equitable distribution of projects in accordance with Title VI. Following CMA/TA concurrence of the request, the complete package is forwarded to MTC.

The Metropolitan Transportation Commission (MTC), as the Regional Transportation Planning Agency (RTPA) for the nine counties of the San Francisco Bay Area, provides concurrence for the STIP requests and formally submits all STIP Amendments to Caltrans for approval by the CTC. MTC also verifies compliance with established state and regional policies. Although MTC provides concurrence on extensions, additional supplemental funds requests and some allocation requests, it is the responsibility of the project sponsor, not MTC, to ensure the required documentation is submitted to Caltrans by the established deadlines for these action requests.

The California Department of Transportation (Caltrans) processes the requests and makes recommendations to the California Transportation Commission (CTC) in accordance with Department procedures and CTC policies and guidelines.

The California Transportation Commission (CTC) approves or rejects the requests based on state statutes and its own established guidance and procedures.

Requesting STIP Amendments and Extensions

As described below, the procedures for processing STIP amendments and extensions vary depending on whether the project is sponsored by Caltrans or a local agency, and whether it has already received STIP funding.

Step I: Project Sponsor Requests STIP Amendment or Extension

For currently programmed Caltrans projects:

- Caltrans and the appropriate CMA identify and discuss the issue(s) that may require an amendment or extension and notify MTC Programming and Allocations (P&A) Section staff that a change to the current STIP may be necessary and is being considered.
- Caltrans and CMA agree on proposed change(s).
- Where necessary, CMA staff requests policy board approval of proposed change.
- Once approved by the CMA, CMA notifies Caltrans in writing of the county's concurrence, with a copy sent to MTC P&A.
- Caltrans requests MTC concurrence for the STIP Amendment/Extension by transmitting the following to MTC P&A:
  - Letter requesting the STIP Amendment or Extension with explanation and justification of the need for the action with the following attachments:

For a STIP Amendment:

- Copy of CMA's letter of concurrence
- Revised RTIP Application Form – http://www.mtc.ca.gov/funding/
- TIP Amendment Form - http://www.mtc.ca.gov/funding/
- A construction 'STIP History' for each amendment that would delay the year of construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for the previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated funding source for the additional funds necessary to complete the project

under the delayed schedule. (A STIP History is only required for amendments to delay the year of construction.)

For an Extension:

- Copy of CMA's letter of concurrence
- A construction 'STIP History' for each extension that would delay construction as described above for a STIP Amendment.

For currently programmed local projects:

- Sponsor and the appropriate CMA identify and discuss the issue(s) that may require an amendment or extension and notify Caltrans and MTC Programming and Allocations Section staff that a change to the current STIP may be necessary and is being considered.
- Sponsor and CMA agree on proposed change(s).
- Sponsor requests CMA concurrence for the STIP Amendment/Extension by submitting the following to the CMA:
  - Letter requesting the STIP Amendment or Extension with explanation and justification of the need for the action with the following attachments:

For a STIP Amendment:

- Revised RTIP Application Form - http://www.mtc.ca.gov/funding/
- TIP Amendment Form - http://www.mtc.ca.gov/funding/
- A construction 'STIP History' for each amendment that would delay the year of construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated funding source for the additional funds necessary to complete the project under the delayed schedule. (A STIP History is only required for amendments to delay the year of construction.)
- Any other documentation required by the CMA or Caltrans

For an Extension:

- Copy of completed Request for Time Extension form (located on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/acrobat/LAPG23B.pdf).
- A construction 'STIP History' for each extension that would delay construction, as described above for a STIP Amendment.

- A listing showing the status of all SB 45 and regional project delivery policy (MTC Resolution 3606) deadlines for all of the project sponsors' allocated STIP projects, and all active federal Surface Transportation Program (STP) and Congestion Mitigation Air Quality (CMAQ) funded projects. This is to ensure project sponsors are aware of the other deadlines facing other projects, and so that sponsors will work to meet those deadlines.
- Any other documentation required by the CMA or Caltrans

- Where necessary, CMA staff requests policy board approval of proposed request.
- Sponsor submits Caltrans' "Request for Time Extension" form and any other required documentation to Caltrans.
- CMA requests MTC concurrence for the STIP Amendment/Extension by transmitting a letter to MTC P&A requesting the STIP Amendment or Extension with explanation and justification of the need for the action along with the documentation submitted by the project sponsor. A copy of the request is also sent to Caltrans.
- Sponsor must be present at the CTC meeting where action is being taken on the extension request to justify the reasons for the extension. Failure to be present may result in the CTC denying the extension request, and risk losing the programmed funds permanently due to missed deadlines. In limited instances, a project sponsor may request that their CMA be available in place of the project sponsor. The CMA and MTC must concur with this request via email.

Important Tip*:* For STIP Extensions, the CTC will only grant an extension if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Furthermore, the extension will not exceed the period of delay directly attributable to the extraordinary circumstance, up to a maximum of 20 months (although the Commission generally does not grant any extension longer than 12 months). It is therefore absolutely necessary that the letter and supporting documentation clearly explains and justifies the extension request. Failure to provide adequate justification and not being present at the CTC meeting will most likely result in an extension not being approved.

For all new projects:

- Sponsor and the appropriate CMA identify and discuss the issue(s) that may require a new project to be added to the STIP and notify Caltrans and MTC Programming and Allocations (P&A) Section staff an amendment to the current STIP may be necessary and is being considered.
- Sponsor and CMA agree on proposed addition.
- Sponsor requests CMA concurrence for the STIP Amendment by submitting the following to the CMA:
  - Letter requesting the STIP Amendment with explanation and justification of the need for the project to be added to the STIP.
  - TIP Amendment form - http://www.mtc.ca.gov/funding/

- RTIP Application form including: - http://www.mtc.ca.gov/funding/
  - Resolution of local support
  - Project Programming Request (PPR) forms (with maps)
  - Local agency certification of assurances
  - Project Study Report (PSR), or equivalent.
  - Copy of State-Only Funding Request Exception Form (Only if requesting state-only funding and project is not on pre-approved state-only eligible funding list. Original request is to be submitted directly to Caltrans HQ Budgets for processing and approval prior to MTC submittal of the request to Caltrans/CTC).
- CMA staff obtains policy board approval of proposed addition.
- CMA requests MTC concurrence for the new project by transmitting a letter to MTC P&A requesting the STIP Amendment with an explanation and justification of the need for the project along with a copy of the CMA Resolution approving the project, and the documentation listed above provided by the project sponsor:

Step 2 : MTC Review and Concurrence

- Once a complete request has been received, MTC P&A staff will place the request on the MTC Programming and Allocations Committee (PAC) meeting agenda for concurrence of major changes, or prepare a letter of concurrence for the Executive Director's signature for minor changes.
- Following approval by PAC and/or the Executive Director, MTC will sign Caltrans' Request for Time Extension form and send it with a Letter of Concurrence to Caltrans District 4 with a copy to the appropriate CMA. (District 4 will ensure that the request is copied to the appropriate contacts at Caltrans Headquarters and CTC.)

Major versus minor changes

- All major changes, including any requests to program a new project, will be presented to MTC's Programming and Allocations Committee (PAC) to determine MTC's concurrence. Major changes include:
  - request to program a new project (or delete a project)
  - schedule delay that affects air quality conformity analysis
  - project advance with reimbursement or replacement project per AB 3090
  - request to use Grant Anticipation Revenue Vehicle (GARVEE) financing
- For minor changes, MTC staff may write a letter of concurrence for the Executive Director's signature. Minor changes include:
  - Extension requests for allocation, award, expenditure and reimbursement/project completion deadlines
  - schedule changes, except where change implies major cost or delivery ramifications

- changes in implementing agency or project sponsor
- changes to project budget that are less than 20% of the total project cost or less than $1 million.
- redirection of funds from one project component to another (e.g. from project engineering into environmental)
- changes considered routine and not impacting project delivery

* Amendments or extensions based on new federal or state requirements may need to go to MTC's PAC

Additional/Supplemental Funds

On occasion it may be necessary to provide additional 'Supplemental' funding to a project as a result of cost increases or revised cost estimates. There are several different processes to follow depending on where the project is within its delivery schedule. The various methods to add STIP funding to a project are as follow:

Biennial STIP Cycle: If additional funding is identified years before the actual allocation, the project sponsor may request the funding through the biennial STIP adoption process. This process is outlined in MTC's RTIP Policies and Application Procedures.

STIP Amendment: If additional funding is identified prior to the allocation of funds, but is required prior to the next biennial STIP adoption, a STIP amendment adding the funds to the project may be requested as outlined in the STIP Amendment procedures above. However, in most cases the additional funds could be added at the time of allocation, thus foregoing the STIP amendment process.

Additional Funds at Time of Allocation: Often the simplest way to add supplemental funds is at the time of allocation. The process is the same as the procedures outlined above for a time extension, except that instead of a "Request for Time Extension" form, a "Request for STIP Funding Allocation" form is used (located on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/acrobat/LAPG23O.pdf). In such circumstances, the additional funding must be approved by the CTC.

Additional Funds After Allocation: It may be necessary to seek additional funds after an allocation, either to award the project or due to unforeseen cost increases while the project is under construction. In either case, an analysis should be performed to determine whether re-engineering could achieve cost reductions to accommodate the increase. If additional funds are still necessary, a funding source outside the STIP should be pursued prior to seeking additional STIP funding. If it is determined that additional STIP funds are needed, then the project sponsor should proceed as with the procedures outlined for "Additional Funds at Time of Allocation". It should be noted that once the funds are allocated, the project sponsor does not have the option to add the funds through a STIP amendment since the CTC does not allow amendments to change the programming for a given component after the funds have been allocated.

Allocation of Funds
Project sponsors request an allocation of funds directly to Caltrans, with Caltrans either allocating the funds under its delegated allocation authority or placing the request on the CTC Agenda for approval. In either case, the completed request package is due to Caltrans 60 days prior to the anticipated allocation of funds. In general MTC is not involved with the allocation process, however, under a few circumstances MTC concurrence is required as noted below:

Local Road Rehabilitation Projects: Allocation of funds for local road rehabilitation projects requires certification from MTC. Project sponsors should submit the "Pavement Management System Certification" form with the "Local Road Rehabilitation Project Certification" form attached (both found on the internet at: http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/acrobat/LAPG23L.pdf and http://www.dot.ca.gov/hq/LocalPrograms/lam/forms/acrobat/LAPG23K.pdf) directly to MTC for signature. MTC will then transmit the signed form to Caltrans District 4 – Local Programs. All other allocation request documentation should be sent directly to Caltrans District 4 – Local Programs.

Allocation of State-Only Funds: MTC concurs with all State-Only funds allocations that are listed in the STIP as State-Only. For the 2010 STIP, no concurrence is necessary because all funding for the will be State-Only funds.

Funds Allocated Differently than Programmed: In some instances it may be necessary to allocate funds differently from what is programmed in the STIP. These situations generally still require MTC concurrence. Fortunately a STIP amendment may not be required, and the funding may be revised at the time of the allocation, thus avoiding the long STIP amendment process. However, A TIP amendment is still required if federal funds are involved. Changes that are allowed at the time of allocation are noted below, however, project sponsors should consult with Caltrans District 4 Local Programs, the CMA and/or MTC to determine whether a change at the time of allocation is permissible before preparing the allocation request.

- Change in implementing agency
- Cost savings (allocation less than program amount)
- Redirection of funds among project components or phases within the project as long as total STIP funding is not increased.
- Advancement of funding from future years (transit projects with funds to be transferred to FTA require a TIP amendment to advance funds)
- Change in funding type (a change to state-only funding requires approval from Caltrans with their "State-Only Funding Request Exception" form if the project type is not on the pre-approved state-only eligible funding list).

STP/CMAQ/TE Match Reserve: Project sponsors must work with the applicable CMA/TA to obtain programming approval for STP/CMAQ/TE match made available in the STIP. The CMA develops a countywide list for the use of the reserved funds and

submits the list to MTC, who in turns provides Caltrans with the region-wide Match Program. Any deviation from this program, whether in the funding amount, project sponsor, or funding year, requires the CMA to resubmit an updated plan for the county to MTC. Caltrans cannot allocate the matching funds if they are inconsistent with the approved STIP - STP/CMAQ/TEA Match Program.

Funds allocated as programmed in the STIP: The allocation of funds as they are programmed in the STIP and TIP do not involve MTC, other than as noted previously. Project sponsors work directly with Caltrans District 4 local programs in obtaining the allocation. STIP projects using federal funds (such as Transportation Enhancement (TE) projects) will not receive federal authorizations to proceed without the project being properly listed in the TIP.

Important Tip: Although some minor changes in the allocation of funds may not require a full STIP amendment, most changes still require MTC concurrence, and possibly a TIP amendment and may even require a vote of the CTC rather than a simple Caltrans delegated allocation approval. Project sponsors are encouraged to consult with the CMA, and Caltrans District 4 prior to preparing any allocation request, to ensure sufficient time is allowed for processing the allocation request, particularly toward the end of the year when the Timely Use of Funds provisions of SB 45 are of critical concern.

Timeline for STIP Amendment/Extension Approval

Completed documentation requesting MTC concurrence must be received by MTC staff no later than the first day of the month prior to the month in which the request will be heard by the Programming and Allocations Committee (PAC). (For example, requests received by January 1 will be reviewed at the February PAC meeting). Subsequently, requests with completed documentation and MTC concurrence must be submitted to the Caltrans District Office 60 to 90 days prior to the CTC meeting where the item will be considered. Therefore, requests for concurrence need to be submitted to MTC generally 150 days prior to CTC action for STIP Amendments and 120 days prior to CTC action for extensions.

For example, a STIP amendment request to delay funding in the next fiscal year is due to MTC by January 1, so it may be approved at the February PAC Meeting, and then submitted to Caltrans in time for the 60-day due date of March 2, so it may be noticed at the May 2 CTC meeting for action at the June 6 CTC meeting.

Important Tip: The CTC will not amend the STIP to delete or change the funding for any project component after the beginning of the fiscal year in which the funding is programmed. Therefore, all amendments to delay a project component must be approved by the CTC by the June meeting in the year prior to the programmed year of funding. To meet this deadline, amendments to delay delivery must be submitted to MTC no later than January 1 of the fiscal year prior to the fiscal year of the funding subject to delay.

A due date schedule is prepared each year for the submittal of STIP requests. This schedule is posted on the internet at: http://www.mtc.ca.gov/funding/

STIP Amendment Form/TIP Amendment Form

The forms necessary to initiate the STIP Amendment process may be downloaded from the MTC website at: http://www.mtc.ca.gov/funding/. TIP Amendments should be processed through the Fund Management System, also available at the website mentioned above.

Contacts for STIP Amendments/Extensions:

Name	Area	Phone	Email
Kenneth Kao	STIP	510.817.5768	kkao@mtc.ca.gov
Ross McKeown	STIP	510.817.5842	rmckeown@mtc.ca.gov
Sri Srinivasan	TIP Amendments	510.817.5793	ssrinivasan@mtc.ca.gov

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APPENDIX A – 13

Regional Policies: Project Funding

San Francisco Bay Area Transit Capital Priorities
(FTA Sections 5307 and 5309)
Process and Criteria
for FY 2009-10 and FY 2011-12

MTC Resolution No. 3908

Date: June 24, 2009
W.I.: 1512
Referred By: PAC
Revised: 05/26/10-C
06/22/11-C
09/26/12-C

ABSTRACT

Resolution No. 3908, Revised

This resolution approves the process and establishes the criteria for programming the FTA Section 5307 and 5309 Fixed Guideway (FG) funds in the San Francisco Bay Area for FY 2009-10 through FY 2011-12.

This resolution was revised on May 26, 2010 to establish the policy for programming the Vehicle Procurement Reserve, establish a Bus Emission Reduction Device Funding Program, revise the Flexible Set-aside formula in the Petaluma Urbanized Area, and make other minor revisions to the policy.

This resolution was revised on June 22, 2011 to make Solano County Transit eligible for future Transit Capital Priorities programming, and to specify that the Flexible Set-Aside will not be programmed in FY 2010-11 due to apportionment shortfalls.

This resolution was revised on September 26, 2012 to make Caltrain's projects that are closely related to its vehicle replacement projects eligible for the Vehicle Procurement Reserve (page 29 of Attachment A).

Further discussion of the Transit Capital Priorities Policy is contained in the Executive Director's memorandum to the Programming and Allocations committee dated May 13, 2009, and the Programming and Allocations Summary Sheets dated May 13, 2009, June 10, 2009, May 12, 2010, June 8, 2011 and September 12, 2012.

Date: June 24, 2009
W.I.: 1512
Referred By: PAC

RE: San Francisco Bay Area Transit Capital Priorities Process and Criteria

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3908

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of priorities for transit capital projects; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators in the region to establish a process and a set of criteria for the selection of transit capital projects to be included in the TIP; and

WHEREAS, the process and criteria to be used in the selection and ranking of projects are set forth in Attachment A, which is incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC approves the Transit Capital Priorities Process and Criteria as set forth in Attachment A; and, be it further

RESOLVED, that MTC will use the process and criteria to program Federal Transit Administration (FTA) Sections 5307 and 5309 funds for FY 2009-10 through FY 2011-12 to finance transit capital projects in the San Francisco Bay Area region; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

The above resolution was entered into by the
Metropolitan Transportation Commission
at a regular meeting of the Commission held
in Oakland, California on June 24, 2009.

Date: June 24, 2009
W.I.: 1512
Referred By: PAC
Revised: 05/26/10-C
06/22/11-C
09/26/12-C

Attachment A
Resolution No. 3908

FY 2009-10 through FY 2011-12
San Francisco Bay Area
FTA Section 5307 and FTA Section 5309 Fixed Guideway
Transit Capital Priorities Criteria

For development of the
FY 2009-10 through FY 2011-12
Transit Capital Priorities Project Lists

Metropolitan Transportation Commission
Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607

The full text of Resolution 3908 can be found on our website at the link below, or will be provided upon request to MTC to info@mtc.ca.gov or 510.817.5700.

http://www.mtc.ca.gov/funding/FTA/downloads/RES-3908_approved.pdf

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FY 2009-10 through FY 2011-12
Transit Capital Priorities Criteria

I. Goals and Objectives

The FY 2009-10 through FY 2011-12 Transit Capital Priorities (TCP) Criteria are the rules, in part, for establishing a program of projects for eligible transit operators in the San Francisco Bay Area Region's large urbanized areas (UA) of San Francisco/Oakland (SF/O), San Jose (SJ), Concord, Santa Rosa (SR), and Antioch; and the small urbanized areas of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill (GM), and Petaluma.

The goal of the TCP Criteria is to fund transit projects that are most essential to the region and consistent with Transportation 2035, the region's 25-year plan. The TCP applies to programming of the Federal Transit Administration (FTA) Urbanized Area Formula (Section 5307) and Fixed Guideway Modernization (Section 5309 FG) funds.

FY 2009-10 will be the first year under new federal transportation authorizing legislation, following the expiration of SAFETEA-LU in FY 2008-09. The TCP Criteria assumes there will be no major shifts in FTA funding programs, eligibility or policies under the new authorization. MTC and the Partnership will revisit and update the policy should changes in federal policy require revisions.

The region's objectives for the TCP are to:

Fund basic capital requirements: All eligible projects are to be considered in TCP score order, with emphasis given to the most essential projects that replace and sustain the existing transit system capital plant. MTC will base the list of eligible replacement and expansion projects on operators' Short Range Transit Plans (SRTP) service objectives, and capital plans. All projects not identified as candidates for the TCP process are assumed to be funded by other fund sources and are so identified in operators' SRTPs.

Maintain reasonable fairness to all operators: Tests of reasonable fairness are to be based on the total funding available to each operator over a period of time, the level and type of service provided, timely obligation of prior year grants, and other relevant factors. (A proportional share distributed to each operator is specifically not an objective.)

Complement other MTC funding programs for transit: MTC has the lead responsibility in programming regional Surface Transportation Program (STP) and Congestion Mitigation-Air Quality (CMAQ) funds, and State Transportation Improvement Program (STIP) funds. Transit capital projects are also eligible for funding under these federal and

state programs. Development of the TCP will complement the programming of STP, CMAQ, and STIP funds to maximize the financial resources available in order to fund the most essential projects for the San Francisco Bay Area's transit properties.

II. TCP Application Process

The Transit Finance Working Group (TFWG) serves as the forum for discussing TCP and other transit programming issues. Each transit operator in the MTC region is responsible for appointing a representative to staff the Transit Finance Working Group (TFWG). The TFWG serves in an advisory capacity to the MTC Partnership Technical Advisory Committee (PTAC). All programming-related decisions are to be reviewed with PTAC. In general, the MTC Programming and Allocations Committee and the full Commission take action on the TCP and any other transit-related funding programs after the PTAC has reviewed them.

Capital Program Submittal. For the purposes of programming, project sponsors will submit requests for funding in accordance with detail instructions in MTC's call for projects. The level of detail must be sufficient to allow for MTC to screen and score the project.

Board Approval
MTC requires that operators seek board approval prior to programming projects in the TIP. The board resolution for FY 2009-10 programming should be submitted by July 8, 2009, the date when the Programming and Allocations Committee will consider the proposed program. If a board resolution cannot be provided by this date due to board meeting schedule constraints, applicants should indicate in a cover memo with their application when the board resolution will be adopted. Appendix 1 is a sample resolution of board support.

Opinion of Counsel
Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Appendix 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the FTA Section 5307 and 5309 FG Programs; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided on Appendix 2.

Screening projects
MTC staff will evaluate all projects for conformance with the Screening Criteria (Section III) below. Certain requirements must be met for a project to reach the scoring stage of

the Transit Capital Priorities process. Operators will be informed by MTC staff if a project has failed to meet the screening criteria, and will be given an opportunity to submit additional information for clarification.

Scoring projects
MTC staff will only score those projects, which have passed the screening process. Based on the score assignment provided in Section IV below, MTC staff will inform operators of the score given to each project. Operators may be asked to provide additional information for clarification.

Programming Projects/Assigning projects to fund source
Projects will be programmed in the TCP in the year proposed. Project funds sources will be assigned by MTC staff and will be based on project eligibility and the results of Multi-County Agreement model. Projects passing screening and scoring criteria will be considered for programming in the TCP in the year proposed, however, projects will only be programmed in the Transportation Improvement Program (TIP) if the following conditions are met: 1) funding is available in the year proposed, and 2) funds can be obligated by the operator in the year proposed.

FTA Public Involvement Process and Transportation Improvement Program (TIP)
FTA Public Involvement Process: To receive a FTA grant, a grant applicant must meet certain public participation requirements in development of the FTA programs. However, as provided for in FTA Circular 9030.1C (revised October 1, 1998), FTA considers a grantee to have met the public participation requirements associated with the annual development of the POP when the grantee follows the public involvement process outlined in the FHWA/FTA planning regulations for the TIP.

Annual Programming in the TIP: MTC, in cooperation with the state and eligible transit operators, is required to develop a TIP for the MTC Region. The TIP is a listing of federally funded transportation projects and projects deemed regionally significant. The TIP is a four-year programming document. TCP programming in each year of the TIP will be financially constrained to the estimated apportionment level. Programming adjustments in the TIP will be done in consultation with eligible transit operators in the MTC region. In lieu of a separate public involvement process, MTC will follow the public involvement process for the TIP.

Changes to Transit Capital Priorities Program
Amendments may be allowed only in certain circumstances. The following general principles govern the changes:

- Amendments are not routine. Any proposed changes will be carefully studied.

- Amendments are subject to MTC and TFWG review.

- Amendments which adversely impact another operator's project will not be included without the prior agreement of other operators to the change.
- Amendments will be acceptable only when proposed changes are within the prescribed financial constraints of the TIP.

- Emergency or urgent projects will be considered on a case-by-case basis as exceptions.

Operators proposing the change must provide relevant information to substantiate the urgency of the proposed amendment. Projects that impede delivery of other projects will be considered only if an agreement can be reached between the affected operators for deferring or eliminating the affected projects from consideration.

Funding Shortfalls
If final apportionments for the FTA Section 5307 and Section 5309 FG programs come in lower than MTC has previously estimated, MTC staff will first redistribute programming to other urbanized areas with surplus apportionments in which the projects are eligible, and, second, negotiate with operators to constrain projects costs or defer projects to a future year. If sufficient resolution is not possible, MTC will consider additional information, including project readiness, prior funding (if the project is a phased multi-year project), whether the project had been previously deferred, and the amount of federal funds that each of the concerned operators received in recent years, in making reductions to programming.

Project Review
Each operator is expected to complete their own Federal grant application using FTA's Transportation Electronic Award and Management (TEAM) system. MTC staff will review grant applications and perform project review when required. In addition, MTC staff will submit concurrence letters and MTC project review resolutions to FTA on behalf of project sponsors as needed.

Program Period
Proposed projects will be used to develop a TCP program for FY 2010, and preliminary programs for FY 2011 and FY 2012. Initially, only the FY 2010 program will be amended into the region's Transportation Improvement Program. The preliminary programs for FY 2011 and FY 2012 will be revisited and potentially revised based on new information regarding the federal authorization and the development of project finance plans for upcoming major vehicle procurements. However, providing a preliminary three-year program is intended to help operators with multi-year capital budgeting, and to help the region take a longer-term view of capital replacement needs.

FY 2009-10 through FY 2011-12 TCP Development Schedule
To the extent possible, the region will adhere to the schedule proposed in the table below in developing the FY 2009-10 through FY 2011-12 TCP. If a change in the schedule is required, MTC will notify participants of the TCP development process in a timely fashion.

TCP Policy / Programming	Start Date	Finish/Due Date
Transit GMs/TFWG TCP Policy Discussions	June 4, 2008	June 3, 2009
Call for projects	May 18, 2009	June 1, 2009
Draft TCP Policy to PAC	May 13, 2009	
Final TCP Policy to PAC/Commission	June 10/24, 2009	
FTA/AB 664 program to TFWG	July 1, 2009	
FTA/AB 664 programs to PAC/Commission and amend TIP to add FY 2009-10 program	July 8/22, 2009	

III. PROJECT ELIGIBILITY

Federal Requirements and Eligibility

Federal Legislation
Projects selected will conform to the requirements of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) or its successor federal transportation authorization, Clean Air Act Amendments of 1990 (CAAA), the California Clean Air Act (CCAA), and the Americans with Disabilities Act (ADA).

Intelligent Transportation Systems (ITS) Architecture Policy
Project sponsors will be required to meet the Federal Transit Administration's National ITS Architecture Policy as established by FTA Federal Register Notice Number 66 FR 1455 published January 8, 2001 and as incorporated by the regional architecture policy which can be accessed at: http://www.mtc.ca.gov/planning/ITS/index.htm.

1% Security Policy
Project sponsors are also required to meet the FTA 1% security set-aside provisions as established in the FY 2004-05 Certifications and Assurances, FTA Federal Register Notice Number 69 FR 62521 published on October 26, 2004, and as it may be refined by FTA in future notifications. For project sponsors that are unable to meet the 1% security requirement, MTC will set-aside 1% of the total amount of FTA Section 5307 programmed to those sponsors for the purposes of meeting this requirement.

Program Eligibility

FTA Section 5307 Urbanized Area Federally Defined Program Eligibility (Statutory Reference: 49USC5307): Planning, engineering design and evaluation of transit projects and other technical transportation-related studies; capital investments in bus and bus-related activities such as replacement of buses, overhaul of buses, rebuilding of buses, crime prevention and security equipment and construction of maintenance and passenger facilities; and capital investments in new and existing fixed guideway systems including rolling stock, overhaul and rebuilding of vehicles, track, signals, communications, and computer hardware and software, and other related projects to meet unfunded mandates. All preventive maintenance and some ADA complementary paratransit service are considered capital costs.

FTA Section 5309 Fixed Guideway Federally Defined Program Eligibility (Statutory Reference: 49USC5309): Capital projects to modernize or improve fixed guideway systems are eligible including purchase and rehabilitation of rolling stock and ferries, track, line equipment, structures, ferry floats, ramps and other ferry fixed guideway connectors, ferry navigational equipment and related components, signals and communications, power equipment and substations, passenger stations and terminals, security equipment and systems, maintenance facilities and equipment, operational support equipment including computer hardware and software, system extensions, and preventive maintenance.

Regional Requirements and Eligibility

Urbanized Area Eligibility

Transit operators are required to submit annual reports to the National Transit Database. Service factors reported in large urbanized areas determine the amounts of FTA Section 5307 and 5309 FG funds generated in the region. MTC staff will work with members of the Partnership to coordinate reporting of service factors in order to maximize the amount of funds generated in the region and to determine urbanized area eligibility. An operator is eligible to claim FTA funds only in designated urbanized areas as outlined in Table 1 below. Eligibility is based on geographical operations, NTD reporting, and agreements with operators.

Table 1. Urbanized Area Eligibility

Urbanized Area	Eligible Transit Operators
San Francisco-Oakland	AC Transit, ACE, BART, Caltrain, GGBHTD, SFMTA, SamTrans, Solano County Transit, Union City Transit, Vallejo Transit, Water Emergency Transportation Authority, WestCAT
San Jose	ACE, Caltrain, SCVTA
Concord	ACE, BART, CCCTA, LAVTA
Antioch	BART, Tri-Delta
Santa Rosa	GGBHTD, Santa Rosa City Bus, Sonoma County Transit
Vallejo	City of Benicia, Napa Vine on behalf of American Canyon, Solano County Transit, City of Vallejo, WestCAT
Fairfield	Fairfield-Suisun Transit
Vacaville	Vacaville Transit
Napa	Napa VINE
Livermore	ACE, LAVTA
Gilroy-Morgan Hill	Caltrain, SCVTA
Petaluma	GGBHTD, Petaluma Transit, Sonoma County Transit

(i) Altamont Commuter Express (ACE) is eligible to claim funds in four of the San Francisco Bay Area's urbanized areas according to Federal Transit Administration statute. ACE has entered into an agreement with other operators eligible to claim funds in the San Jose UA, which prevents ACE from claiming funds in that UA. Likewise, ACE has also determined that they will be reporting their Livermore area revenue miles in the Stockton UA and have elected not to seek funding from the Livermore UA. The project element that the Regional Priority Model would apportion to these two urbanized areas will be deducted from the total amount of their capital request. ACE operates on track privately owned by Union Pacific. Requests for track rehabilitation, maintenance, and or upgrades for funding in the San Francisco-Oakland and Concord UAs will be assessed for eligibility upon review of the ACE and Union Pacific agreement.

(ii) Santa Rosa City Bus and Sonoma County will apportion Santa Rosa urbanized area funding in accordance with previous agreements (75% Santa Rosa City Bus and 25% Sonoma County).

(iii) Golden Gate Bridge and Highway Transportation District (GGBHTD) is eligible to claim funds in the Santa Rosa Urbanized Areas. However, as a result of an agreement between the operators and discussion with the TFWG, GGBHTD will not claim funds from the Santa Rosa UA at this time. However, should it become advantageous to the region for GGBHTD to report revenue miles in the Santa Rosa UA and thereby claim funds in that UA, agreements between the operators will be

re-evaluated. Golden Gate is an eligible claimant for funds in the Petaluma UA, and in years where extensive capital need in other urbanized areas in the region is high; Golden Gate's projects could be funded in the Petaluma UA.

(iv) WestCAT is an eligible claimant in the Vallejo UA but will report revenue miles in the San Francisco-Oakland UA in order to maximize funding to the region. Therefore, WestCAT will claim funds exclusively in the San Francisco-Oakland UA.

(v) Funding agreements between operators in the San Jose and Gilroy-Morgan Hill UAs are subject to the conditions outlined in the Caltrain Joint Powers Board Agreement.

(vi) The Water Emergency Transportation Authority (WETA) is an eligible claimant in the San Francisco-Oakland UA starting in FY 2009-10 contingent on WETA's adoption of a transition plan for the assumption of responsibility for the Alameda and Vallejo ferry services, including responsibility for replacement and rehabilitation of Alameda's and Vallejo's ferry capital assets, as required by SB 976. If WETA does not adopt the transition plan, any TCP funds programmed to WETA would be reprogrammed to other eligible operators.

(vii) Solano County Transit (SolTrans) is an eligible claimant in the San Francisco-Oakland and Vallejo UAs starting in FY 2010-11 contingent on FTA's designation of SolTrans as an eligible grantee. Programming for SolTrans will be in lieu of new programming for the City of Benicia and the City of Vallejo bus services.

Eligibility for New Operators
New operators will be required to meet the following criteria before becoming eligible for TCP funding:

- The operator provides public transit services in the San Francisco Bay Area that are compatible with the region's Regional Transportation Plan.
- The operator is an FTA grantee.
- The operator has filed NTD reports for at least two years prior to the first year of programming, e.g., has filed an NTD report for 2008 services and intends to file a report for 2009 to be eligible for FY10 TCP funding.
- The operator has executed a Cooperative Planning Agreement with MTC.
- The operator has submitted a current SRTP to MTC.

Screening Criteria
A project must conform to the following threshold requirements before the project can be scored and ranked in the TCP project list. Screening criteria envelops three basic areas. The following subheadings are used to group the screening criteria.

- Consistency Requirements;
- Financial Requirements;

- Project Specific Requirements;

Consistency Requirements: The proposed project must be consistent with the currently adopted Regional Transportation Plan (RTP). Smaller projects must be consistent with the policy direction of the RTP, as the RTP does not go into a sufficient level of detail to specifically list them.

Projects near or crossing county boundaries must be consistent/complementary with the facility (or proposed facility) in the adjacent county.

Projects must be included in an operator's Short Range Transit Plan, and in an adopted local or regional plan (such as Congestion Management Programs, Countywide transportation plans pursuant to AB3705, the Seaport and Airport Plans, the State Implementation Plan, the Ozone Attainment Plan, the Regional Transportation Plan, and local General Plans).

Financial Requirements: The proposed project has reasonable cost estimates, is supported by an adequate financial plan with all sources of funding identified and a logical cash flow, and has sensible phasing. Transit operators must demonstrate financial capacity, to be documented in the adopted TIP, as required by the FTA. All facilities that require an ongoing operating budget to be useful must demonstrate that such financial capacity exists.

Project Specific Requirements: All projects must be well defined. There must be clear project limits, intended scope of work, and project concept. Planning projects to further define longer range federally eligible projects are acceptable. Examples of score 16 projects include:

- Replacement/rehab of one revenue vehicle sub-fleet or ferry vessel; a sub-fleet is defined as the same bus size, manufacturer, and year; or any portion of a train set that reaches the end of its useful life at a common time.

- Train control or traction power replacement/rehab needs for a given year.

- Fixed guideway replacement/rehab needs for a given year (e.g., track replacement and related fixed guideway costs, ferry fixed guideway connectors).

All projects must be well justified, and have a clear need directly addressed by the project.

A proposed project includes an implementation plan that adequately provides for any necessary clearances and approvals.

The proposed project must be advanced to a state of readiness for implementation in the year indicated. For this requirement, a project is considered to be ready if grants for the project can be obligated within one year of the award date; or in the case of larger construction projects, obligated according to an accepted implementation schedule.

Asset Useful Life
To be eligible for replacement or rehabilitation, assets must meet the following age requirements in the year of programming:

Table 2. Useful Life of Assets

Heavy-Duty Buses, other than Over-the-Road-Coaches*	12 years
Over-the-Road-Coaches*	14 years
Medium-Duty Buses*	10 years
* (or an additional 5 years for buses rehabilitated with TCP funding)	
Van[1]	4, 5, or 7 years, depending on type
Light Rail Vehicle (LRV)	25 years
Trolley	15 years
Heavy Railcar[2]	25 years
Locomotive	25 years
(or an additional 20 years for railcars rehabilitated with TCP funding)	
Heavy/Steel Hull Ferries	30 years
(or an additional 20 years for railcars rehabilitated with TCP funding)	
Light Weight/Aluminum Hull Ferries[3]	25 years
Used Vehicles[4]	Varies by type
Tools and Equipment	10 years
Service Vehicle	7 years
Non-Revenue Vehicle	7 years
Track	Varies by track type
Trolley Overhead/3rd Rail	Varies by type of OVHD/3rd rail
Facility	Varies by facility and component replaced

Notes:
(1) A paratransit van is a specialized van used in paratransit service only such as service for the elderly and handicapped. Three general categories of vans are acceptable in Transit Capital Priorities: Minivans, Standard Conversion Vans, and Small Medium-Duty Coaches. The age requirements for each type are 4, 5, and 7 years respectively.
(2) Includes Caltrain and ACE commuter rail and BART urban rail cars.
(3) Light weight ferries will not generally last beyond a 25-year useful life. Propulsion and major component elements of lightweight ferries can be replaced in TCP without extending the useful life beyond its anticipated useful life of 25 years.
(4) Used vehicles are eligible to receive a proportionate level of funding based on the type of vehicle and number of years of additional service. (See "used vehicle replacement" Section IV, Definition of Project Categories).

Exceptions for replacement of assets prior to the end of their useful life may be considered only if an operator has secured FTA approval for early retirement, which must occur before the annual apportionment has been released.

Compensation for Bus Replacement Beyond Minimum Useful Life
Operators that voluntarily replace buses or vans beyond the minimum federally eligible useful life specified in the table above will be eligible for either of two financial compensations:

Option 1. Operators receive all of the savings, but need to apply the savings to capital replacement and rehab projects (Score 10-16).

Option 2. Operators receive half of the savings to the region created by later replacement of vehicles, which may be programmed to lower scoring eligible projects.

Savings to the region are calculated based on the pricelist cost and minimum useful life of the vehicle type. For example, if replacement of a bus with a 12-year useful life and a $600,000 replacement cost (federal share) is deferred for two years, the savings to the region would be 2/12 x $600,000 = $100,000. Under Option 1, the operator would receive $100,000 for eligible Score 10-16 capital projects. Under Option 2, the operator would receive $50,000, which would be treated like flexible set-aside. The region would retain the other $50,000 in savings to be programmed to other needs in accordance with the TCP policy. Operators may choose between Option 1 and Option 2.

For operators that are proposing to take advantage of the bus replacement compensation, the vehicles being replaced must be older than the age requirements listed above. It is the operator's responsibility to ensure that vehicle replacement requests beyond the minimum useful life maintain a state of good repair for the assets. Requests to activate this policy option should be noted when transmitting project applications to MTC.

Project Funding Caps
In order to prevent committing a significant portion of the programming to an operator in any one year, the following annual funding ceilings for projects are established:

Revenue vehicle replacement projects cannot exceed $20 million for buses or $30 million for rail car or ferry vessel replacement and rehabilitation projects, in the aggregate for both Section 5307 and Section 5309 FG programs.

Fixed guideway replacement and rehabilitation projects in the aggregate cannot exceed the amounts specified for each fixed guideway operator in Table 3.

Table 3. Fixed Guideway Caps

FG Operator	Project Category	Fixed Guideway Cap
ACE[1]	All Eligible FG Categories	1,460,000
BART	All Eligible FG Categories	41,520,000
Caltrain	All Eligible FG Categories	13.270,000
GGBHTD	All Eligible FG Categories	5,660,000
SFMTA	All Eligible FG Categories	36,280,000
Vallejo	All Eligible FG Categories	3,680,000
VTA	All Eligible FG Categories	9,450,000
WETA (for Alameda Ferries)	All Eligible FG Categories	3,680,000

1) Amount for ACE limited to Bay Area eligibility in SFO and Concord UA or 52.85% of regional total.
2) Programming for WETA will be made contingent on adoption of the transition plan for assumption of responsibility for the Alameda and Vallejo ferry services required by SB 976.

The cap amount may be programmed to any projects that are eligible for FTA Section 5309 FG funding and that fall into one of the following categories:

- Track/Guideway Replacement/Rehabilitation
- Traction Power Delivery
- Train Control/Signaling
- Dredging
- Ferry Fixed Guideway Connectors
- Ferry Major Component Replacement
- Ferry Propulsion Replacement

- Cable Car Infrastructure

- Wayside Fare Collection Equipment

Programming for all projects that fall within these categories must be within the operator's cap amount.

Other replacement projects cannot exceed $7.5 million.
Expansion or enhancement projects cannot exceed $3.75 million.

As part of the region's 10-year Capital Improvement Program, project caps may be increased or decreased on an annual basis in order to better match programming to available revenues, subject to negotiation and agreement among operators and MTC; however, over a multi-year period, the caps must average to the amounts indicated above in order to keep the TCP program within its fiscal constraints.

Exceptions to these annual funding ceilings will be considered by MTC and the TFWG on a case-by-case basis after evaluating programming requested through the call for projects, and the region's estimated fiscal resources. For large rehabilitation programs, MTC may conduct negotiations with the appropriate sponsor to discuss financing options and programming commitments.

Bus-Van Pricelist
Requests for funding for buses and vans cannot exceed the prices in the Regional Bus-Van Pricelist for each year of the TCP program as shown in Table 4, Table 5 and Table 6. If an operator elects to replace vehicles with vehicles of a different fuel type, the price listed for the new fuel type vehicle applies, e.g., if an operator is replacing diesel buses with diesel-electric hybrid buses, the operator may request funds up to the amount listed for hybrid buses.

Table 4: Regional Bus-Van Pricelist, FY 2009-10

Vehicle Type	Total	Federal	Local	Federal %	Local %
Auto	27,000	22,530	4,470	83.44%	16.56%
Minivan Under 22'	49,000	40,887	8,113	83.44%	16.56%
Cut-Away/Van Under 26', 4 or 5-Year, Gas	76,000	62,034	13,966	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, Diesel	101,000	82,441	18,559	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, CNG	113,000	92,236	20,764	81.62%	18.38%
Cut-Away/Van Under 26', 7-Year, Gas	106,000	87,980	18,020	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, Diesel	142,000	117,860	24,140	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, CNG	158,000	131,139	26,861	83.00%	17.00%
Cut-Away/Van 26'+, 4 or 5-Year, Gas	80,000	65,299	14,701	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, Diesel	107,000	87,338	19,662	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, CNG	119,000	97,133	21,867	81.62%	18.38%
Cut-Away/Van 26'+, 7-Year, Gas	111,000	92,130	18,870	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, Diesel	149,000	123,669	25,331	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, CNG	166,000	137,779	28,221	83.00%	17.00%
Transit Bus 30' Diesel	460,000	371,015	88,985	80.66%	19.34%
Transit Bus 30' CNG	514,000	414,569	99,431	80.66%	19.34%
Transit Bus 30' Hybrid	621,000	500,871	120,129	80.66%	19.34%
Transit Bus 35' Diesel	473,000	381,415	91,585	80.64%	19.36%
Transit Bus 35' CNG	530,000	427,379	102,621	80.64%	19.36%
Transit Bus 35' Hybrid	639,000	515,274	123,726	80.64%	19.36%
Transit Bus 40' Diesel	487,000	392,629	94,371	80.62%	19.38%
Transit Bus 40' CNG	545,000	439,390	105,610	80.62%	19.38%
Transit Bus 40' Hybrid	658,000	530,493	127,507	80.62%	19.38%
Suburban Bus 45' Diesel	569,000	458,099	110,901	80.51%	19.49%
Over-the-Road 40' Diesel	569,000	458,099	110,901	80.51%	19.49%
Over-the-Road 40' CNG	637,000	512,846	124,154	80.51%	19.49%
Over-the-Road 40' Hybrid	768,000	618,313	149,687	80.51%	19.49%
Over-the-Road 45' Diesel	614,000	494,329	119,671	80.51%	19.49%
Over-the-Road 45' CNG	688,000	553,906	134,094	80.51%	19.49%
Over-the-Road 45' Hybrid	829,000	667,424	161,576	80.51%	19.49%
Over-the-Road 60' Diesel	810,000	651,185	158,815	80.39%	19.61%
Over-the-Road 60' CNG	907,000	729,167	177,833	80.39%	19.61%
Over-the-Road 60' Hybrid	1,093,000	878,698	214,302	80.39%	19.61%
Articulated 60' Diesel	689,000	553,909	135,091	80.39%	19.61%
Articulated 60' CNG	771,000	619,832	151,168	80.39%	19.61%
Articulated 60' Hybrid	929,000	746,853	182,147	80.39%	19.61%

Notes:
Prices escalated 3.0% annually, rounded to nearest $1,000
Prices for buses and cut-aways include allowances for radios, fareboxes and Translink wiring and brackets.
To calculate price without fareboxes and radios multiply values by .9822
To calculate price without fareboxes multiply values by .9862
To calculate price without radios multiply values by .9960
To calculate price without Translink wiring and brackets subtract $1,545

Table 5: Regional Bus-Van Pricelist, FY 2010-11

Vehicle Type	Total	Federal	Local	Federal %	Local %
Auto	28,000	23,364	4,636	83.44%	16.56%
Minivan Under 22'	50,000	41,721	8,279	83.44%	16.56%
Cut-Away/Van Under 26', 4 or 5-Year, Gas	78,000	63,667	14,333	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, Diesel	104,000	84,889	19,111	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, CNG	116,000	94,684	21,316	81.62%	18.38%
Cut-Away/Van Under 26', 7-Year, Gas	109,000	90,470	18,530	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, Diesel	146,000	121,179	24,821	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, CNG	163,000	135,289	27,711	83.00%	17.00%
Cut-Away/Van 26'+, 4 or 5-Year, Gas	82,000	66,932	15,068	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, Diesel	110,000	89,787	20,213	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, CNG	123,000	100,398	22,602	81.62%	18.38%
Cut-Away/Van 26'+, 7-Year, Gas	114,000	94,620	19,380	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, Diesel	153,000	126,989	26,011	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, CNG	171,000	141,929	29,071	83.00%	17.00%
Transit Bus 30' Diesel	474,000	382,307	91,693	80.66%	19.34%
Transit Bus 30' CNG	529,000	426,668	102,332	80.66%	19.34%
Transit Bus 30' Hybrid	640,000	516,195	123,805	80.66%	19.34%
Transit Bus 35' Diesel	487,000	392,705	94,295	80.64%	19.36%
Transit Bus 35' CNG	546,000	440,281	105,719	80.64%	19.36%
Transit Bus 35' Hybrid	658,000	530,595	127,405	80.64%	19.36%
Transit Bus 40' Diesel	502,000	404,723	97,277	80.62%	19.38%
Transit Bus 40' CNG	561,000	452,290	108,710	80.62%	19.38%
Transit Bus 40' Hybrid	678,000	546,617	131,383	80.62%	19.38%
Suburban Bus 45' Diesel	586,000	471,786	114,214	80.51%	19.49%
Over-the-Road 40' Diesel	586,000	471,786	114,214	80.51%	19.49%
Over-the-Road 40' CNG	656,000	528,143	127,857	80.51%	19.49%
Over-the-Road 40' Hybrid	791,000	636,830	154,170	80.51%	19.49%
Over-the-Road 45' Diesel	632,000	508,820	123,180	80.51%	19.49%
Over-the-Road 45' CNG	709,000	570,813	138,187	80.51%	19.49%
Over-the-Road 45' Hybrid	854,000	687,551	166,449	80.51%	19.49%
Over-the-Road 60' Diesel	834,000	670,480	163,520	80.39%	19.61%
Over-the-Road 60' CNG	934,000	750,873	183,127	80.39%	19.61%
Over-the-Road 60' Hybrid	1,126,000	905,228	220,772	80.39%	19.61%
Articulated 60' Diesel	710,000	570,792	139,208	80.39%	19.61%
Articulated 60' CNG	794,000	638,322	155,678	80.39%	19.61%
Articulated 60' Hybrid	957,000	769,363	187,637	80.39%	19.61%

Notes:
Prices escalated 3.0% annually, rounded to nearest $1,000
Prices for buses and cut-aways include allowances for radios, fareboxes and Translink wiring and brackets.
To calculate price without fareboxes and radios multiply values by .9822
To calculate price without fareboxes multiply values by .9862
To calculate price without radios multiply values by .9960
To calculate price without Translink wiring and brackets subtract $1,590

Table 6: Regional Bus-Van Pricelist, FY 2011-12

Vehicle Type	Total	Federal	Local	Federal %	Local %
Auto	29,000	24,198	4,802	83.44%	16.56%
Minivan Under 22'	52,000	43,390	8,610	83.44%	16.56%
Cut-Away/Van Under 26', 4 or 5-Year, Gas	80,000	65,299	14,701	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, Diesel	107,000	87,338	19,662	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, CNG	119,000	97,133	21,867	81.62%	18.38%
Cut-Away/Van Under 26', 7-Year, Gas	112,000	92,960	19,040	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, Diesel	150,000	124,499	25,501	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, CNG	168,000	139,439	28,561	83.00%	17.00%
Cut-Away/Van 26'+, 4 or 5-Year, Gas	84,000	68,564	15,436	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, Diesel	113,000	92,236	20,764	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, CNG	127,000	103,663	23,337	81.62%	18.38%
Cut-Away/Van 26'+, 7-Year, Gas	117,000	97,110	19,890	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, Diesel	158,000	131,139	26,861	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, CNG	176,000	146,079	29,921	83.00%	17.00%
Transit Bus 30' Diesel	488,000	393,599	94,401	80.66%	19.34%
Transit Bus 30' CNG	545,000	439,573	105,427	80.66%	19.34%
Transit Bus 30' Hybrid	659,000	531,520	127,480	80.66%	19.34%
Transit Bus 35' Diesel	502,000	404,800	97,200	80.64%	19.36%
Transit Bus 35' CNG	562,000	453,183	108,817	80.64%	19.36%
Transit Bus 35' Hybrid	678,000	546,722	131,278	80.64%	19.36%
Transit Bus 40' Diesel	517,000	416,816	100,184	80.62%	19.38%
Transit Bus 40' CNG	578,000	465,995	112,005	80.62%	19.38%
Transit Bus 40' Hybrid	698,000	562,742	135,258	80.62%	19.38%
Suburban Bus 45' Diesel	604,000	486,278	117,722	80.51%	19.49%
Over-the-Road 40' Diesel	604,000	486,278	117,722	80.51%	19.49%
Over-the-Road 40' CNG	676,000	544,244	131,756	80.51%	19.49%
Over-the-Road 40' Hybrid	815,000	656,153	158,847	80.51%	19.49%
Over-the-Road 45' Diesel	651,000	524,117	126,883	80.51%	19.49%
Over-the-Road 45' CNG	730,000	587,720	142,280	80.51%	19.49%
Over-the-Road 45' Hybrid	880,000	708,484	171,516	80.51%	19.49%
Over-the-Road 60' Diesel	859,000	690,578	168,422	80.39%	19.61%
Over-the-Road 60' CNG	962,000	773,383	188,617	80.39%	19.61%
Over-the-Road 60' Hybrid	1,160,000	932,561	227,439	80.39%	19.61%
Articulated 60' Diesel	731,000	587,674	143,326	80.39%	19.61%
Articulated 60' CNG	818,000	657,617	160,383	80.39%	19.61%
Articulated 60' Hybrid	986,000	792,677	193,323	80.39%	19.61%

Notes:
Prices escalated 3.0% annually, rounded to nearest $1,000
Prices for buses and cut-aways include allowances for radios, fareboxes and Translink wiring and brackets.
To calculate price without fareboxes and radios multiply values by .9822
To calculate price without fareboxes multiply values by .9862
To calculate price without radios multiply values by .9960
To calculate price without Translink wiring and brackets subtract $1,640

Note that bus prices include allowances for radios, fareboxes and Translink wiring and brackets. It should be noted in the project description if buses will be procured without these items, and programmed amounts will be adjusted as specified in the pricelist. Operators are encouraged to

include Translink wiring and brackets in all new buses, so the buses are Translink-ready without requiring additional expenses.

IV. Project Definition and Scoring

Project Scoring
All FTA Section 5307 and FTA Section 5309 FG projects submitted to MTC for TCP programming consideration that have passed the screening process will be assigned scores by project category as indicated in Table 7.

Table 7. Project Scores

Project Category/Description	Project Score
Revenue Vehicle Replacement	**16**
Vehicle Replacement - replacement of a revenue vehicle at the end of its useful life (see Section III, Table 2). Vehicles previously purchased with revenue sources other than federal funds are eligible for FTA formula funding as long as vehicles meet the replacement age. Vehicles are to be replaced with vehicles of similar size (up to 5' size differential) and seating capacity, e.g. a 40-foot coach replaced with a 40-foot coach and not an articulated vehicle. If an operator is electing to purchase smaller buses, or do a sub-fleet reconfiguration, the replacement sub-fleet will have a comparable number of seats as the vehicles being replaced. Paratransit vehicles can be replaced with the next larger vehicle providing the existing vehicle is operated for the useful life period of the vehicle that is being upgraded to. Any other significant upgrade in size will be considered as vehicle expansion and not vehicle replacement. For urgent replacements not the result of deferred maintenance and replacement of assets 20% older than the usual replacement cycle (e.g. 12 or 16 years for buses depending on type of bus), a project may receive an additional point.	
Revenue Vehicle Rehabilitation	**16**
Vehicle Rehabilitation - major maintenance, designed to extend the useful life of a revenue vehicle (+5 years for buses, +20 years for railcars, +20 years for heavy hull ferries)	
Used Vehicle Replacement	**16**
Used Vehicle Replacement - replacement of a vehicle purchased used (applicable to buses, ferries, and rail cars) is eligible for federal, state, and local funding that MTC administers. Funds in this category include FTA Section 5307, STP, CMAQ, STIP, and Net Toll Revenues. However, funding for replacement of the used vehicle will be limited to a proportionate share of the total project cost, equal to the number of years the used vehicle is operated beyond its standard useful life divided by its standard useful life (e.g. if a transit property retained and operated a used transit bus for 5 years, it is eligible to receive $5/12^{th}$ of the allowable programming for the project).	

Fixed Guideway Replacement / Rehabilitation	**16**
Rehabilitation/Replacement Fixed Guideway - projects replacing or rehabilitating fixed guideway equipment at the end of its useful life, including rail, guideway, bridges, traction power systems, wayside train control systems, overhead wires, cable car infrastructure, and computer/communications systems with a primary purpose of communicating with or controlling fixed guideway equipment. Projects in this category are subject to fixed guideway project caps.	
Ferry Propulsion Systems	**16**
Ferry Propulsion Replacement—projects defined as the mid-life replacement and rehabilitation of ferry propulsion systems in order that vessels are able to reach their 25-year useful life. Projects in this category are subject to fixed guideway project caps.	
Ferry Major Component	**16**
Ferry Major Components—projects associated with propulsion system, inspection, and navigational equipment required to reach the full economic life of a ferry vessel. Projects in this category are subject to fixed guideway project caps.	
Ferry Fixed Guideway Connectors	**16**
Ferry Fixed Guideway Connectors—floats, gangways, and ramps associated with the safe moorage and boarding of passengers to/from ferry vessels. Projects in this category are subject to fixed guideway project caps.	
Revenue Vehicle Communication Equipment	**16**
Communication Equipment - Includes computer/communications systems with a primary purpose of communicating with and/or location/navigation of revenue vehicles, such as GPS/AVL systems. For operators who replace radios and base stations when the revenue vehicle/vessel is replaced, no additional system wide replacement will be funded through the regional capital priorities. For bus operators who elect the system wide replacement option, the regional participation in the project will be constrained by the radio allowance in the standard bus price (provided that the radio/base station is not replaced prior to the applicable replacement cycle).	
Non-TransLink® Fare Collection/Fareboxes	**16**
Revenue vehicle and wayside fare equipment are eligible for replacement as score 16. The maximum programming allowance for revenue vehicle fare equipment purchased separately from revenue vehicles is outlined in Section III, Project Funding Caps, providing the fare equipment is not replaced prior to the 12-year replacement cycle for buses. Fare equipment must be compatible with the TransLink® fare collection system.	
TransLink®	**16**
TransLink® - replacement of TransLink® fare collection equipment related to revenue vehicles and faregates.	

Bus Diesel Emission Reduction Devices	**16**
Bus diesel emission reduction devices or device components required to meet or exceed California Air Resources Board requirements, including first-time retrofits, upgrades, replacements and spares. Devices or components must be installed on buses that will remain in service until at least 2014 in order to be treated as Score 16. Only spares up to 10% of the operator's current device inventory will be treated as Score 16. Bus diesel emission device projects treated as Score 16 require a 50% local match. Devices or components installed on buses scheduled to be replaced prior to 2014, and spares in excess of 10% of the operator's inventory, will be treated as Preventive Maintenance (Score 9). See Section V. Programming Policies, Bus Diesel Emission Reduction Device Funding Program.	
Safety	**15**
Safety/Security - projects addressing potential threats to life and/or property. The project may be maintenance of existing equipment or new safety capital investments. Includes computer/communications systems with a primary purpose of communicating with/controlling safety systems, including ventilation fans, fire suppression, fire alarm, intruder detection, CCTV cameras, and emergency "blue light" phones. Adequate justification that the proposed project will address safety and/or security issues must be provided. The TFWG will be provided an opportunity to review proposed projects before a project is programmed funds in a final program.	
ADA/Non Vehicle Access Improvement	**14**
ADA - capital projects needed for ADA *compliance*. Does not cover routine replacement of ADA-related capital items. Project sponsor must provide detailed justification that the project is proposed to comply with ADA. Subject to TFWG review.	
Fixed/Heavy Equipment, Maintenance/Operating Facilities	**13**
Fixed/Heavy equipment and Operations/Maintenance facility - replacement/rehabilitation of major maintenance equipment, generally with a unit value over $10,000; replacement/rehabilitation of facilities on a schedule based upon the useful life of the components.	
Station/Intermodal Stations/Parking Rehabilitation	**12**
Stations/Intermodal Centers/Patron Parking Replacement/Rehab - replacement/rehabilitation of passenger facilities. Includes computer/communications systems with a primary purpose of communicating with/controlling escalators or elevators, and public address or platform display systems at stations or platforms.	
Service Vehicles	**11**
Service Vehicles - replacement/rehabilitation of non-revenue and service vehicles based on useful life schedules.	

Tools and Equipment	**10**
Tools and Equipment - maintenance tools and equipment, generally with a unit value below $10,000.	
Office Equipment	**9**
Office Equipment - computers, copiers, fax machines, etc. Includes administrative - MIS, financial, HR, scheduling, and maintenance management systems.	
Preventive Maintenance	**9**
Preventive Maintenance - ongoing maintenance expenses (including labor and capital costs) of revenue and non-revenue vehicles that do not extend the life of the vehicle. This includes mid-life change-out of tires, tubes, engines and transmissions that do not extend the life of the vehicle beyond the twelve years life cycle. *Note: Requests for preventive maintenance to meet budgetary shortfalls will be guided by the provisions outlined in Section V. Operators who wish to exchange a capital project for preventive maintenance funding in order to use their local funds to ease federal constraints or strictly as a financing mechanism may do so providing that the replacement asset funded with local funds is comparable to the asset being replaced and is maintained in service by the purchasing operator for its full useful life as outlined in Section V.*	
Operational Improvements/Enhancements	**8**
Operational Improvement/Enhancements - any project proposed to improve and/or enhance the efficiency of a transit facility.	
Operations	**8**
Operations—costs associated with transit operations such as the ongoing maintenance of transit vehicles including the cost of salaries. See Section V, Limited Use of FTA Funds for Operating Purposes.	
Expansion	**8**
Expansion - any project needed to support expanded service levels.	

V. PROGRAMMING POLICIES

Project Apportionment Model for Eligible Urbanized Areas
There are four elements that need to be considered to determine operators' urbanized area apportionment: multi-county agreements, high scoring capital needs, the 10% flexible set-aside amounts, and the 10% ADA set-aside amounts. The Regional Priority Model, as explained in paragraph (a), establishes funding priority for apportioning high scoring capital projects to eligible urbanized areas. Funding may be limited by multi-county agreements as explained in Paragraph (b) below.

Eligible programming revenues are net of the 10% flexible set-aside as outlined in paragraph (c) below, the 10% ADA set-aside shown in paragraph (d) below, and the Vehicle Procurement Reserve and Preventive Maintenance Reserve described at the end of this section.

a) *Regional Priority Programming Model* - The 2000 census changes to the region's urbanized areas made numerous operators eligible to claim funds in more than one urbanized area. This has necessitated a procedure for apportioning projects to eligible urbanized areas. The *Regional Priority Model,* as described below, was fashioned to prioritize funds for the replacement of the region's transit capital plant, while minimizing the impact of the 2000 census boundary changes.

The model assumes a regional programming perspective and constrains regional capital demand to the amount of funds available to the region, prior to apportioning projects to urbanized areas. It then apportions projects to urbanized areas in the following order:

i. Funds are apportioned first for operators that are the exclusive claimant in a single UA (e.g. LAVTA, Fairfield, etc.)

ii. Fund projects for operators that are restricted to receiving funds in one urbanized area (e.g. SFMTA, AC, WestCAT, CCCTA, etc.)

iii. Fund balance of operator projects among multiple urbanized areas, as eligibility allows, with the objective of fully funding as many high scoring projects as possible.

iv. Reduce capital projects proportionately in urbanized areas where need exceeds funds available.

v. Fund lower scoring projects (additional programming flexibility) to operators in urbanized areas where apportionments exceed project need.

b) *Multi-County Agreements*: For some operators, urbanized area (UA) apportionments are guided by multi-county agreements. Aside from the acknowledged agreements, funds are apportioned based on the regional priority model.

There are three specific agreements that are being honored under the negotiated multi-county agreement model: the Caltrain Joint Powers Board Agreement, the Altamont Commuter Express (ACE) Cooperative Services Agreement and the Sonoma County-Santa Rosa City Bus Agreement.

Consideration for future agreements will include representation from each interested county, interested transit property, or an appointed designee, and be approved by all operators in the affected UA and MTC.

c) *10% Flexible Set-Aside*: Prior to running the apportionment model, 10% of the FTA Section 5307 funds from each of the urbanized areas is redistributed based on apportioned ridership and FTA revenue factors, weighted equally. Table 8 shows the percentages by operator and urbanized area for this programming period. Urbanized areas not shown are either urbanized areas with only one operator or urbanized areas that have opted to not participate in the set-aside. Descriptions of these formulas are outlined below.

Apportioned Ridership: Ridership is apportioned based on how an operator reports their revenue miles to FTA. As an example, BART reports their revenue miles 71.28% in the San Francisco-Oakland UA, 26.14% in the Concord UA, and 2.58% in the Antioch UA. Instead of counting their total ridership, or 97.1 million, in each UA, ridership is apportioned to each UA based on the reporting factors.

FTA Revenue Factors: The set-aside is distributed on FTA revenue factors - bus tier and fixed guideway tier. Factors included in the analysis are revenue vehicle miles, passenger miles, and operating cost. Small-urbanized area set-asides are distributed to eligible operators based on a rough estimation of population and population density.

Table 8: 10% Flexible Set-aside Shares by Urbanized Area and Operator

Operator	SFO	SJ	Concord	Antioch	Vallejo	Napa	Livermore	Gilroy-MH	Petaluma
AC Transit	15.7%								
ACE	1.5%		1.6%						
BART	25.4%		76.9%	47.9%					
Caltrain	3.3%	9.6%							
CCCTA			16.5%						
ECCTA				52.1%					
GGBHTD	5.1%								58.4%
LAVTA			5.0%				100.0%		
Napa					13.5%	100.0%			
Petaluma									13.8%
SamTrans	4.8%								
SFMTA	40.9%								
Sonoma County									27.8%
Union City	0.2%								
Vallejo/Benicia	2.0%				86.5%				
VTA		90.4%						100.0%	
WestCat	0.5%								
WETA (Alameda Ferry)	0.6%								
Total	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%

Notes:
1) Urbanized Areas not shown are not participating in 10% flexible set-aside policy.
2) Formula based on hybrid of apportioned ridership and revenue factors (equally weighted).
3) Ridership based on MTC's 2004 Statistical Summary of Bay Area Operators (FY 2002-03 data).
4) Revenue factors based on FY 2001-2002 NTD data received from operators.
5) Shares for Petaluma Transit and WETA based on 2007 data.
6) Distribution in Petaluma UA revised by agreement of eligible operators.
7) To calculate funding amounts, multiply 10% of related urbanized area revenue estimate against percentages shown for operators in that urbanized area.

Flexible Set-Aside funds will not be programmed for the FY 2010-11 program year due to lower federal apportionments and projected shortfalls in FY 2011-12. The region's ability to program Flexible Set-Aside funds in FY 2011-12 will be evaluated based on projected apportionments and high-scoring capital project needs.

d) *10% ADA Paratransit Service Set-Aside*: SAFETEA establishes a cap on the use of large urbanized area capital funds for ADA paratransit services not to exceed 10% of the region's apportionment of FTA Section 5307 funds. An amount equal to 10% of each participating urbanized area's FTA Section 5307 apportionment will be set-aside to assist operators in defraying ADA paratransit operating expenses. The purpose of this set-aside is to ensure that in any one year, a transit operator can use these funds to provide ADA service levels necessary to maintain compliance with the federal law, without impacting existing levels of fixed route service. ADA set-aside programmed to small UA operators will not impact eligible programming amounts in large UAs. Table 9 shows the percentages by operator and urbanized area for this programming period.

Table 9: ADA Set-aside Amounts by Urbanized Area and Operator

Operator	San Francisco-Oakland	San Jose	Concord	Antioch	Vallejo	Livermore	Gilroy-MH
AC Transit	31.1%						
ACE	1.7%		14.1%				
BART	14.7%		46.0%	22.2%			
Caltrain	3.3%	15.0%					
CCCTA			32.3%				
Fairfield-Suisun Transit	Not Applicable						
GGBHTD	8.8%						
LAVTA			7.6%			100.0%	
Napa VINE					7.0%		
SFMTA	29.5%						
SamTrans	7.8%						
SCVTA		85.0%					100.0%
SR City Bus	Not Applicable						
Sonoma Cty Transit	Not Applicable						
Tri-Delta				77.8%			
Union City							
Vacaville	Not Applicable						
Vallejo Transit	2.1%				93.0%		
WestCat	0.9%						
Total	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**

Notes:
1) Urbanized Areas not shown are not participating in 10% ADA set-aside policy.
2) Formula roughly based on generations with an element of the rail operator portion allotted to bus operators because bus operators generally shoulder a greater share of the ADA operations.
3) To calculate funding amounts, multiply 10% of related urbanized area revenue estimate against percentages shown for operators in that urbanized area.

An operator may use its share of the FTA Section 5307 set-aside for capital purposes or preventive maintenance if the operator can certify that:

- Their ADA paratransit operating costs are fully funded in its proposed annual budget;
- For jointly funded paratransit services, operators' FTA Section 5307 ADA set-aside shares have been jointly considered in making decisions on ADA service levels and revenues.

If MTC is satisfied with the operator's certification, the operator may re-program its set-aside for any unfunded transit capital projects or preventive maintenance. To ensure that the Section 5307 10% set-aside funding is duly considered for annual ADA paratransit needs, there will be no multi-year programming of the 10% ADA set-aside to capital-only purposes.

Limited Use of FTA Funds for Operating Purposes

FTA permits the use of FTA Section 5307 small urbanized funds to be used for operating purposes. For operators eligible to claim in both large and small urbanized areas, the

amount of funds used for operating will be deducted from the amount of capital claimed in the large UA.

Specified Urbanized Area Flexibility
In urbanized areas with only one transit operator (Fairfield, Vacaville, Napa) greater flexibility for funding lower scoring projects will be allowed, providing that other operators in the region are not impacted. These operators will also be allowed to use funds for operating, without reduction of funding for capital projects, providing that capital is adequately maintained and replaced on a reasonable schedule as outlined in each operator's SRTPs and in accordance with goals outlined in the RTP for maintaining the region's capital plant (maintenance of effort).

Transit Enhancements
TEA-21 requires that 1% of the FTA section 5307 apportionment be set aside for transit enhancements. Eligible projects include: historic preservation, rehabilitation, and operation of historic mass transportation buildings, structures, and facilities, bus shelters, landscaping and other scenic beautification, public art, pedestrian access and walkways, bicycle access, including bicycle storage facilities, transit connections to parks, signage, and enhanced access for persons with disabilities to mass transportation.

Due to the overwhelming needs to sustain the current transit capital plant, funded score 16 projects which can be identified as eligible transit enhancement project candidates would count against the 1% set-aside for transit enhancements, including, but not limited to, rehabilitation of cable cars and historic cars, and bike racks to be procured as part of a bus purchase. Any remaining balance will be put into a reserve for funding eligible projects in subsequent years.

Preventive Maintenance Funding for Operating Purposes (non-Reserve or Flexible Set-Aside Funds)
Preventive maintenance will be considered a score 9 funding priority in Transit Capital Priorities, unless a fiscal need exists and can be demonstrated accordingly by the requesting operator based on the guidelines outlined below. MTC must declare that a fiscal need exists to fund preventive maintenance where such action would displace higher scoring capital projects ready to move forward in a given fiscal year. A fiscal need can be declared if the following conditions exist:

- An operator can demonstrate in a board-approved budget or budget assumption that a shortfall exists; this budget or budget assumption must consider MTC's latest adopted fund estimate and/or Short-Range Transit Plan forecasts for transit-specific revenues.
- An operator must demonstrate that all reasonable cost control and revenue generation strategies have been implemented and that a residual shortfall remains.

- An operator can demonstrate that the shortfall, if not addressed, would result in a significant service reduction.

The Commission will consider the severity of the shortfall and the scope and impact of the service cuts in determining whether fiscal need exists. Operators establishing a fiscal need must also adhere to the following four requirements in order to be eligible to receive funding for preventive maintenance:

i. Operators must successfully show a board approved bridging strategy that will sustain financial recovery beyond the year for which preventive maintenance is requested.

ii. The bridging strategy should not rely on future preventive maintenance funding to achieve a balanced budget. In other words, should a service adjustment be required to balance the budget over the long run, preventive maintenance should not be invoked as a stopgap to inevitable service reductions.

iii. Funds programmed to preventive maintenance should not be considered as a mechanism to sustain or replenish operating reserves.

iv. Operators requesting FTA formula funds to meet operating shortfalls will be limited to two years preventive maintenance funding within a 12-year period.

Concepts for Preventive Maintenance Allowance – For an individual operator to make use of preventive maintenance funding, other operators in the region must be able to move forward with planned capital replacement. The following two mechanisms will ensure both protection of capital replacement and flexibility for preventive maintenance:

- Capital Exchange – In this option, an operator could elect to remove an eligible capital project from TCP funding consideration for the useful life of the asset in exchange for preventive maintenance funding. The funding is limited to the amount of capital funding an operator would have received under the current TCP policy in a normal economic climate. If an operator elects to replace the asset - removed from regional competition for funding under these provisions – earlier than the timeline established for its useful life, the replacement will be considered an expansion project.
- Negotiated Agreement within an Urbanized Area – In the second option, an operator may negotiate with the other operators in the affected urbanized areas to receive an amount of preventive maintenance funding, providing that a firewall is established between the affected urbanized area(s) and all other urbanized areas. This will ensure that other operators' high-scoring capital replacement projects are not jeopardized.

The requesting operator will enter into an MOU with MTC and, if applicable, other transit properties affected by the preventive maintenance agreement. The agreement will embody the four eligibility requirements outlined above as well as any other terms and

conditions of the agreement. It is the intent of this policy that funding for preventive maintenance will not increase the region's transit capital shortfall.

Reserve for Major Vehicle Procurements

The proposed TCP programs for FY 2009-10, FY 2010-11 and FY 2011-12 will include a vehicle procurement reserve which will direct approximately $150 million of revenues (total over the three-year program) to help meet the future peak expenditures for major vehicle procurement projects and closely related projects, including BART's and Caltrain's railcar replacements, and SFMTA's trolley car replacement. Caltrain's railcar replacement project is part of a program of closely related projects, including an Advanced Signal System, required to electrify the Caltrain corridor. For purposes of the vehicle procurement reserve, the Caltrain railcar replacement and the Advanced Signal System project are eligible. Most of the costs for the major procurements will be incurred in the FY 2015 to FY 2018 period, causing total Score 16 needs in those years to far exceed projected revenues. Conversely, revenues during the FY 2010 to FY 2012 period are expected to exceed capped Score 16 needs by approximately $200 million.

MTC staff has been working with BART to develop a financing plan for the BART project, and the regional Capital Improvement Program projections used to inform the development of the TCP policy assume that the region will dedicate approximately $730 million in FTA funds to the first phase of the project over the next ten years. The Phase 1 Funding Plan provides for approximately $1 billion of the total project, and includes all project development work, prototypes and testing, and an initial order of 200 vehicles. This element of the TCP policy is based on a commitment to this project funding plan; the BART Board approved their commitment on April 22, 2010. MTC staff is also working with Caltrain and SFMTA to develop detailed approaches to funding their projects.

The Vehicle Procurement Reserve (VPR) will be programmed based on the following criteria:

- Cost of the project relative to annual TCP funding;
- Other funding available for the project, including TCP funds aside from the VPR;
- Timing of funding needs based on vehicle eligibility for replacement and the project's procurement schedule.

MTC staff will provide an assessment of the projected costs and schedules of the major upcoming vehicle procurements against these criteria in conjunction with the proposed VPR program. Programming of the VPR will not be subject to the Project Funding Caps for vehicle procurements specified in Section III Project Eligibility. The VPR program will not be added to the regional Transportation Improvement Program (TIP) until the rest of the FY 2011 and FY2012 TCP program is added to the TIP, after review of updated revenue and cost projections, and potential revisions to the program. This timing will allow for potential revisions to the proposed VPR program if the schedules or projected expenditure plans for the vehicle procurement projects change. MTC staff will continue to work with the staff of BART, Caltrain

and SFMTA to refine the funding plans for the vehicle replacement projects, including appropriate levels of local match.

Preventive Maintenance Reserve

In order to help address operating shortfalls, the proposed TCP programs for FY 2009-10, FY 2010-11 and FY 2011-12 will dedicate approximately $50 million over the three-year program as flexible funding that can be used for any eligible project, including preventive maintenance. The funds are proposed to be distributed using the flexible set-aside formula detailed in Table 8. The funds will not be subject to the current TCP preventive maintenance policy requiring that assets exchanged for PM be removed from the program for the life cycle of the asset. Operators will have flexibility in terms of which year to request the flexible funds, and may request all or a portion of their share in any of the three years, FY10 – FY12. Operators must provide a narrative or excerpts from their adopted budget or SRTP explaining how the use of preventive maintenance fits within a strategy to stabilize their operating budget. The amounts of each operator's allocation of the Preventive Maintenance Reserve is shown in Table 10.

Table 10. Preventive Maintenance Reserve FY 2010-2012

Operator	Total
AC Transit	4,948,876
ACE	565,869
BART	12,599,452
Caltrain	1,977,128
CCCTA	827,797
ECCTA	775,548
GGBHTD	1,781,012
LAVTA	580,921
Napa VINE	540,712
Petaluma	16,404
SamTrans	1,514,718
SFMTA	12,929,243
Sonoma Transit	74,255
Union City	57,114
Vallejo	1,499,545
VTA	8,971,810
WCCTA	146,362
WETA (Alameda Ferry)	193,233
Total	50,000,000

Notes:
Programming for WETA will be made contingent on adoption of the transition plan for assumption of responsibility for the Alameda and Vallejo ferry services required by SB 976.

Bus Diesel Emission Reduction Device Funding Program
MTC provided approximately $14 million in CMAQ funds in FY 2003-04 and FY 2004-05 to assist with the procurement of approximately 1,600 bus emission reduction devices to help operators meet California Air Resources Board (CARB) requirements. The devices have reached or are approaching the end of their five-year warranty period, and some of the devices or their components may need to be replaced. New upgraded devices also provide greater NOx reduction benefits than the original devices. In addition, first-time retrofits are required for some of the region's older buses in order to meet CARB requirements.

In response to the need to install or replace bus diesel emission reduction devices to comply with CARB requirements at a time when operator's preventive maintenance budgets are under severe stress due to state budget cuts and the economy, the Transit Capital Priorities policy includes a bus emission reduction device funding program. The elements of this policy attempt to strike a balance between facilitating operators' ability to remain in compliance with CARB requirements and to exceed those requirements by achieving greater NOx reductions on the one hand, and making the most effective use of the region's limited capital funds on the other. The elements of bus emission reduction device replacement program are:

- Requests to replace bus emission reduction devices or device components in order to maintain compliance with or exceed CARB requirements, including first-time retrofits, upgrades, replacements and spares, will be treated as Score 16 projects, subject to the following requirements.

- In order to be treated as Score 16, devices or components must be installed on buses that are scheduled to remain in service until at least 2014. Devices or components to be installed on buses that are scheduled to be replaced prior to 2014 will be treated as Preventive Maintenance (Score 9).

- Requests to procure spare devices or components up to 10% of the operators current device inventory will be treated as Score 16. Spare devices or components in excess of 10% of the inventory will be treated as Preventive Maintenance (Score 9)

- Projects treated as Score 16 under the bus emission reduction device funding program require a 50% local match, rather than the standard 20%. The intent of this element is to encourage cost-effective use of the region's limited capital funding, and to align with the original policy for procuring the devices, which had the regional contribution to NOx reduction and the local contribution for PM reduction.

- Participation in the program is entirely voluntary. It is the responsibility of each operator to determine the best approach to achieving and maintaining compliance with CARB requirements.

APPENDIX 1 – BOARD RESOLUTION

Sample Resolution of Board Support
FTA Section 5307 and 5309 Fixed Guideway (FG) Project and Surface Transportation Program Application

Resolution No. _____

AUTHORIZING THE FILING OF AN APPLICATION FOR FTA SECTION 5307 AND 5309 FIXED GUIDEWAY(FG) AND SURFACE TRANSPORTATION PROGRAMS FUNDING FOR (project name) AND COMMITTING THE NECESSARY LOCAL MATCH FOR THE PROJECT(S) AND STATING THE ASSURANCE OF (name of jurisdiction) TO COMPLETE THE PROJECT

WHEREAS, the successor to the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) (Public Law Public Law 109-59, August 10, 2005) is anticipated to continue the Federal Transit Administration Formula Programs (23 U.S.C. §53) and Surface Transportation Program (23 U.S.C. § 133); and

WHEREAS, pursuant to SAFETEA-LU, and the regulations promulgated there under, eligible project sponsors wishing to receive Federal Transit Administration (FTA) Section 5307 and Section 5309 Fixed Guideway (FG) Formula or Surface Transportation Program grants for a project shall submit an application first with the appropriate metropolitan transportation planning organization (MPO), for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

WHEREAS, the Metropolitan Transportation Commission is the MPO for the San Francisco Bay region; and

WHEREAS, (applicant) is an eligible project sponsor for FTA Section 5307, FTA 5309 FG, or Surface Transportation Program funds; and

WHEREAS, (applicant) wishes to submit a grant application to MTC for funds from the FY 2008-09 FTA Section 5307 and FTA 5309 FG, or Surface Transportation Program funds for the following project:

(project description) .

WHEREAS, MTC requires, as part of the application, a resolution stating the following:

1) the commitment of necessary local matching funds of at least of 20% for FTA Section 5307 and FTA Section 5309 FG and 11.47% for Surface Transportation Program funds; and
2) that the sponsor understands that the FTA Section 5307, FTA Section 5309 FG and Surface Transportation Programs funding is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded FTA Section 5307, FTA Section 5309 FG and Surface Transportation Programs funds; and
3) the assurance of the sponsor to complete the project as described in the application, and if approved, as programmed in MTC's TIP; and
4) that the sponsor understands that FTA funds must be obligated within three years of programming and the Surface Transportation Program funds must be obligated by September 30 of the year that the project is programmed for in the TIP, or the project may be removed from the program.

Resolved, that (agency name) is an eligible sponsor of projects in the FTA Sections 5307 and 5309 FG and STP Programs; and be it further

Resolved, that (agency name) is authorized to submit an application for FTA Sections 5307 and 5309 FG and STP funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for FTA Sections 5307 and 5309 FG and STP funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

NOW, THEREFORE, BE IT RESOLVED by (governing board name) that (applicant) is authorized to execute and file an application for funding under the FTA Section 5307, FTA Section 5309 FG, and/or Surface Transportation Program in the amount of ($request) for (project description); and

BE IT FURTHER RESOLVED that (governing board) by adopting this resolution does hereby state that:

1) (applicant) will provide ($ match amount) in local matching funds; and

2) (applicant) understands that the FTA Sections 5307 and 5309 FG and STP funding for the project is fixed at ($ actual amount), and that any cost increases must be funded by the (applicant) from local matching funds, and that (applicant) does not expect any cost

increases to be funded with FTA Sections 5307 and 5309 FG and Surface Transportation Program funds; and

3) (project name) will be built as described in this resolution and, if approved, for the amount shown in the Metropolitan Transportation Commission (MTC) Transportation Improvement Program (TIP) with obligation occurring within the timeframe established below; and

4) The program funds are expected to be obligated by September 30 of the year the project is programmed for in the TIP; and

BE IT FURTHER RESOLVED, that (agency name) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and

BE IT FURTHER RESOLVED that a copy of this resolution will be transmitted to the MTC in prior to MTC programming the FTA Section 5307 and 5309 FG or Surface Transportation Program funded project in the Transportation Improvement Program (TIP); and

BE IT FURTHER RESOLVED that the MTC is requested to support the application for the project described in the resolution and to program the project, if approved, in MTC's TIP.

APPENDIX 2 – OPINION OF COUNSEL

Sample Opinion of Legal Counsel
FTA Section 5307, FTA Section 5309 FG, and STP Project Application

(Date)

To: Metropolitan Transportation Commission
Fr: (Applicant)
Re: Eligibility for FTA Section 5307 Program, FTA 5309 Fixed Guideway (FG) Program, and Surface Transportation Program (STP)

This communication will serve as the requisite opinion of counsel in connection with the application of (Applicant) _____ for funding from the FTA Section 5307 and 5309 FG, and STP Programs made available pursuant to the Reauthorization of SAFETEA Legislation.

1. (Applicant)_____ is an eligible sponsor of projects for the FTA Section 5307, FTA Section 5309 FG, and STP Programs.
2. (Applicant) _____ is authorized to submit an application for FTA Section 5307, FTA Section 5309 FG, and STP funding for (project) _____ _____.
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) _____ making applications FTA Section 5307, FTA Section 5309 FG, and STP Program funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation which might in any way adversely affect the proposed projects, or the ability of (Applicant) _____ to carry out such projects.

Sincerely,

_____
Legal Counsel

_____
Print name

Optional Language to add to the Resolution for Local Support

Project sponsors have the option of consolidating the 'Opinion of Legal Counsel' within the Resolution of Local Support, by incorporating the following statements into the Resolution of Local Support:

Resolved, that (agency name) is an eligible sponsor of projects in the FTA Sections 5307 and 5309 FG and STP Programs; and be it further

Resolved, that (agency name) is authorized to submit an application for FTA Sections 5307 and 5309 FG and STP funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for FTA Sections 5307 and 5309 FG and STP funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

If the above language is not provided within the Resolution of Local Support, an Opinion of Legal Counsel is required as provided (Attachment 9, page 1).

APPENDIX A – 14

Regional Policies: Project Funding

San Francisco Bay Area Transit Capital Priorities
(FTA Sections 5307 and 5309)
Process and Criteria
for FY 2012-13 and FY 2013-14

MTC Resolution No. 4072

Date: October 24, 2012
W.I.: 1512
Referred By: PAC
Revised: 01/23/13-C
02/27/13-C
04/24/13-C

ABSTRACT

Resolution No. 4072, Revised

This resolution approves the process and establishes the criteria for programming the FY2012-13 and FY2013-14 FTA Section 5307 Urbanized Area, Section 5309 Fixed Guideway Modernization, Section 5337 State of Good Repair, Section 5339 Bus and Bus Facilities, and Cycle 2 STP/CMAQ Transit Capital Rehabilitation Program funds in the San Francisco Bay Area.

This resolution includes the following attachment:

Attachment A - San Francisco Bay Area Transit Capital Priorities Criteria for FY2012-13 and FY2013-14 FTA Formula Funds and Cycle 2 STP/CMAQ Transit Capital Rehabilitation Funds

This resolution was revised on January 23, 2013 to make the Marin County Transit District eligible for Transit Capital Priorities funds in the San Francisco-Oakland urbanized area.

This resolution was revised on February 27, 2013 to establish the formula distribution for the Transit Performance Initiative Incentive Program.

This resolution was revised on April 24, 2013 to establish the large operator formula distribution for the Transit Performance Initiative Incentive Program and to revise the formula for distributing ADA operating assistance to include Marin Transit.

Further discussion of the Transit Capital Priorities Policy is contained in the Programming and Allocation Committee Executive Director memoranda dated October 10, 2012; January 9, 2013; February 13, 2013; and April 10, 2013.

Date: October 24, 2012
W.I.: 1512
Referred By: PAC

RE: San Francisco Bay Area Transit Capital Priorities Process and Criteria

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4072

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of priorities for transit capital projects; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators in the region to establish a process and a set of criteria for the selection of transit capital projects to be included in the TIP; and

WHEREAS, the process and criteria to be used in the selection and ranking of projects are set forth in Attachment A, which is incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC approves the Transit Capital Priorities Process and Criteria as set forth in Attachment A; and, be it further

RESOLVED, that MTC will use the process and criteria to program Federal Transit Administration (FTA) Sections 5307, 5309 FG, 5337 and 5339 funds for FY2012-13 and FY2013-14 and Cycle 2 STP/CMAQ Transit Capital Rehabilitation Program funds for FY2012-13 through FY2015-16 to finance transit projects in the San Francisco Bay Area region; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California on October 24, 2012.

Date: October 24, 2012
W.I.: 1512
Referred By: PAC
Revised: 01/23/13-C
02/27/13-C
04/24/13-C

Attachment A
Resolution No. 4072

San Francisco Bay Area Transit Capital Priorities Criteria for FY2012-13 and FY2013-14
FTA Formula Funds and Cycle 2 STP/CMAQ Transit Capital Rehabilitation Funds

For development of the FY2012-13 and FY2013-14
Transit Capital Priorities and Transit Performance Initiative Project Lists

Metropolitan Transportation Commission
Joseph P. Bort MetroCenter
101 Eighth Street
Oakland, CA 94607

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FY2012-13 and FY2013-14 Transit Capital Priorities Process & Criteria

I. GOALS AND OBJECTIVES

The FY2012-13 and FY2013-14 Transit Capital Priorities (TCP) Criteria are the rules, in part, for establishing a program of projects for eligible transit operators in the San Francisco Bay Area Region's large urbanized areas (UA) of San Francisco/Oakland (SF/O), San Jose (SJ), Concord, Santa Rosa (SR), and Antioch; and the small urbanized areas of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill (GM), and Petaluma.

The goal of the TCP Criteria is to fund transit projects that are most essential to the region and consistent with Transportation 2035, the region's current 25-year plan, and Plan Bay Area, the proposed successor to Transportation 2035. TCP also implements elements of the Transit Sustainability Project recommendation (MTC Resolution No. 4060). Among the region's objectives for the TCP are to:

Fund basic capital requirements: All eligible projects are to be considered in TCP score order, with emphasis given to the most essential projects that replace and sustain the existing transit system capital plant. MTC will base the list of eligible replacement and expansion projects on information provided by the transit operators in response to a call for projects. Operator-proposed projects should be based on Short Range Transit Plan (SRTP) service objectives or other board-approved capital plans. All projects not identified as candidates for the TCP process are assumed to be funded by other fund sources and are so identified in operators' SRTPs or capital plans.

Maintain reasonable fairness to all operators: Tests of reasonable fairness are to be based on the total funding available to each operator over a period of time, the level and type of service provided, timely obligation of prior year grants, and other relevant factors. (A proportional share distributed to each operator is specifically not an objective.)

Complement other MTC funding programs for transit: MTC has the lead responsibility in programming regional Surface Transportation Program (STP) and Congestion Mitigation-Air Quality (CMAQ) funds, and State Transportation Improvement Program (STIP) funds. Transit capital projects are also eligible for funding under these federal and state programs. Development of the TCP will complement the programming of STP, CMAQ, and STIP funds to maximize the financial resources available in order to fund the most essential projects for the San Francisco Bay Area's transit properties.

The TCP Criteria applies to programming of the Federal Transit Administration (FTA) Urbanized Area Formula (Section 5307), State of Good Repair (Section 5337) and Bus and Bus Facilities (Section 5339) funds, as well as Federal Highway Administration Surface Transportation Program funds dedicated to transit capital rehabilitation in the Commission's Second Cycle Programming Policy (MTC Resolution No. 4035, Revised).

These programs are authorized for FY2012-13 and FY2013-14 by the Moving Ahead for Progress in the 21st Century (MAP-21) federal transportation authorizing legislation enacted by Congress and signed into law in July 2012. The TCP Criteria also governs the programming of prior-year balances of Fixed Guideway Modernization (Section 5309 FG) funds, which were authorized by MAP-21's predecessor, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU).

MAP-21 made several changes to FTA funding programs which have been reflected in updates to the TCP Criteria, including:

- Combining the Job Access and Reverse Commute program (Section 5316) with the Urbanized Area Formula program (Section 5307) and the Non-urbanized Area Formula program (Section 5311);

- Replacing the Fixed Guideway Modernization program (Section 5309 FG) with a new State of Good Repair program (Section 5337); and

- Replacing the Bus and Bus Facilities discretionary program (Section 5309 Bus) with a new Bus and Bus Facilities formula program (Section 5339).

As of the date of the adoption of the TCP Criteria, FTA has not yet issued detailed guidance for the implementation of the new funding programs. MTC and the Partnership will revisit and recommend updates to the policy should future FTA rules and guidance require revisions.

II. FTA Formula Funds

A. TCP Application Process

The Transit Finance Working Group (TFWG) serves as the forum for discussing TCP and other transit programming issues. Each transit operator in the MTC region is responsible for appointing a representative to staff the Transit Finance Working Group (TFWG). The TFWG serves in an advisory capacity to the MTC Partnership Technical Advisory Committee (PTAC). All major programming-related decisions are to be reviewed with PTAC. In general, the MTC Programming and Allocations Committee and the full Commission take action on the TCP and any other transit-related funding programs after the TFWG and PTAC has reviewed them.

Capital Program Submittal
For the purposes of programming, project sponsors will submit requests for funding in accordance with detailed instructions in MTC's call for projects. The level of detail must be sufficient to allow for MTC to screen and score the project.

Board Approval
MTC requires that operators seek board approval prior to programming projects in the TIP. The board resolution for FY2012-13 and FY2013-14 programming should be submitted by December 10, 2012, the planned date when the Programming and Allocations Committee will consider the proposed program. If a board resolution cannot be provided by this date due to board meeting schedule constraints, applicants should indicate in a cover memo with their application when the board resolution will be adopted. Appendix 1 is a sample resolution of board support.

Opinion of Counsel
Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Appendix 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the FTA Section 5307, 5309 FG, 5337 and/or 5339 programs; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided on Appendix 2.

Screening projects
MTC staff will evaluate all projects for conformance with the Screening Criteria (Section III) below. Certain requirements must be met for a project to reach the scoring stage of the Transit Capital Priorities process. Operators will be informed by MTC staff if a project has failed to meet the screening criteria, and will be given an opportunity to submit additional information for clarification.

Scoring projects
MTC staff will only score those projects, which have passed the screening process. Based on the score assignment provided in Section IV below, MTC staff will inform operators of the score given to each project. Operators may be asked to provide additional information for clarification.

Programming Projects/Assigning projects to fund source
Projects passing screening and scoring criteria will be considered for programming in the TCP in the year proposed, however, projects will only be programmed in the Transportation Improvement Program (TIP) if the following conditions are met: 1) funding is available in the year proposed, and 2) funds can be obligated by the operator in the year proposed. Project funds sources will be assigned by MTC staff and will be based on project eligibility and the results of Multi-County Agreement model.

FTA Public Involvement Process and Transportation Improvement Program (TIP)
FTA Public Involvement Process: To receive a FTA grant, a grant applicant must meet certain public participation requirements in development of the FTA programs. As provided for in FTA Circular 9030.1D (revised May 1, 2010), FTA considers a grantee to have met the public participation requirements associated with the annual development of the Program of Projects when the grantee follows the public involvement process outlined in the FHWA/FTA planning regulations for the TIP. In lieu of a separate public involvement process, MTC will follow the public involvement process for the TIP.

Annual Programming in the TIP: MTC, in cooperation with the state and eligible transit operators, is required to develop a TIP for the MTC Region. The TIP is a listing of federally funded transportation projects, projects requiring a federal action, and projects deemed regionally significant. The TIP is a four-year programming document. TCP programming in each year of the TIP will be financially constrained to the estimated apportionment level. Programming adjustments in the TIP will be done in consultation with eligible transit operators in the MTC region.

Changes to Transit Capital Priorities Program
Amendments may be allowed only in certain circumstances. The following general principles govern the changes:

- Amendments are not routine. Any proposed changes will be carefully studied.
- Amendments are subject to MTC and TFWG review.
- Amendments which adversely impact another operator's project will not be included without the prior agreement of other operators to the change.

- Amendments will be acceptable only when proposed changes are within the prescribed financial constraints of the TIP.

- Emergency or urgent projects will be considered on a case-by-case basis as exceptions.

Operators proposing the change must provide relevant information to substantiate the urgency of the proposed amendment. Projects that impede delivery of other projects will be considered only if an agreement can be reached between the affected operators for deferring or eliminating the affected projects from consideration.

Funding Shortfalls
If final apportionments for the FTA formula programs come in lower than MTC has previously estimated, MTC staff will first redistribute programming to other urbanized areas with surplus apportionments in which the projects are eligible, and, second, negotiate with operators to constrain projects costs or defer projects to a future year. If sufficient resolution is not possible, MTC will consider additional information, including project readiness, prior funding (if the project is a phased multi-year project), whether the project had been previously deferred, and the amount of federal funds that each of the concerned operators received in recent years, in making reductions to programming.

Project Review
Each operator is expected to complete their own Federal grant application using FTA's Transportation Electronic Award and Management (TEAM) system. MTC staff will review grant applications and will submit concurrence letters to FTA on behalf of project sponsors as needed.

Program Period
The TCP Criteria will be used to develop a program of projects for FY2012-13 and FY2013-14 FTA Formula Funds. The number of years covered by each TCP policy update is generally aligned with the years covered by the current federal authorization, and the region typically adopts multi-year programs to help operators with multi-year capital budgeting, and to help the region take a longer-term view of capital replacement needs. MAP-21 authorizes FTA funding programs for federal fiscal years 2012-13 and 2013-14.

TCP Development Schedule
To the extent possible, the region will adhere to the schedule proposed in the table below in developing the FY2012-13 – FY2013-14 TCP program. If a change in the schedule is required, MTC will notify participants of the TCP program development process in a timely fashion.

TCP Policy / Programming	Start Date	Finish/Due Date
TFWG TCP Policy Discussions	November 11, 2011	September 5, 2012
Call for projects	October 3, 2012	October 31, 2012
TCP Policy to PAC/Commission	October 10/24, 2012	
TCP/AB 664 program to TFWG	November 14, 2012	
TCP/AB 664 programs to PAC/Commission	December 12/19, 2012	
TCP TIP amendment to PAC/Commission	January 9/23, 2013	

B. Project Eligibility

Federal Requirements and Eligibility

Federal Legislation
Projects selected will conform to the requirements of MAP-21 (or SAFETEA-LU in the case of Section 5309 FG), Clean Air Act Amendments of 1990 (CAAA), the California Clean Air Act (CCAA), and the Americans with Disabilities Act (ADA).

Intelligent Transportation Systems (ITS) Architecture Policy
Project sponsors will be required to meet the Federal Transit Administration's National ITS Architecture Policy as established by FTA Federal Register Notice Number 66 FR 1455 published January 8, 2001 and as incorporated by the regional architecture policy which can be accessed at: http://www.mtc.ca.gov/planning/ITS/index.htm.

1% Security Policy
Project sponsors are also required to meet the FTA 1% security set-aside provisions as established in the FY2004-05 Certifications and Assurances, FTA Federal Register Notice Number 69 FR 62521 published on October 26, 2004, and as it may be refined by FTA in future notifications. For project sponsors that are unable to meet the 1% security requirement, MTC will set-aside 1% of the total amount of FTA Section 5307 programmed to those sponsors for the purposes of meeting this requirement.

Program Eligibility
Program eligibility is based on the statutory eligibility for the FTA Section 5307, 5309 FG, 5337 and 5339 programs. If revisions to eligibility for these programs are adopted as

part of FTA circulars or other guidance issued for the new funding programs, the region will consider conforming amendments to the TCP policy.

FTA Section 5307 Urbanized Area Federally Defined Program Eligibility (Statutory Reference: 49USC5307): Capital projects; planning; job access and reverse commute projects; and operating costs of equipment and facilities for use in public transportation in urbanized areas with a population of fewer than 200,000, and, in certain circumstances, in urbanized areas with a population greater than 200,000. Eligible capital projects include—

(A) acquiring, constructing, supervising, or inspecting equipment or a facility for use in public transportation, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, transit-related intelligent transportation systems, relocation assistance, acquiring replacement housing sites, and acquiring, constructing, relocating, and rehabilitating replacement housing;
(B) rehabilitating a bus;
(C) remanufacturing a bus;
(D) overhauling rail rolling stock;
(E) preventive maintenance;
(F) leasing equipment or a facility for use in public transportation
(G) a joint development improvement that meet specified requirements
(H) the introduction of new technology, through innovative and improved products, into public transportation;
(I) the provision of nonfixed route paratransit transportation services in accordance with section 223 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12143), under specified circumstances;
(J) establishing a debt service reserve to ensure the timely payment of principal and interest on bonds issued by a grant recipient to finance an eligible project
(K) mobility management; and
(L) associated capital maintenance.

FTA Section 5309 Fixed Guideway Federally Defined Program Eligibility (Statutory Reference: 49USC5309): Capital projects to modernize or improve fixed guideway systems are eligible including purchase and rehabilitation of rolling stock and ferries, track, line equipment, structures, ferry floats, ramps and other ferry fixed guideway connectors, ferry navigational equipment and related components, signals and communications, power equipment and substations, passenger stations and terminals, security equipment and systems, maintenance facilities and equipment, operational support equipment including computer hardware and software, system extensions, and preventive maintenance.

FTA Section 5337 State of Good Repair Federally Defined Program Eligibility (Statutory Reference: 49USC5337): Capital projects to maintain fixed guideway and high intensity

motorbus public transportation systems in a state of good repair, including projects to replace and rehabilitate—
(A) rolling stock;
(B) track;
(C) line equipment and structures;
(D) signals and communications;
(E) power equipment and substations;
(F) passenger stations and terminals;
(G) security equipment and systems;
(H) maintenance facilities and equipment;
(I) operational support equipment, including computer hardware and software; and
(J) development and implementation of a transit asset management plan.

The term 'fixed guideway' means a public transportation facility:
(A) using and occupying a separate right-of-way for the exclusive use of public transportation;
(B) using rail;
(C) using a fixed catenary system;
(D) for a passenger ferry system; or
(E) for a bus rapid transit system.

The term 'high intensity motorbus' means public transportation that is provided on a facility with access for other high-occupancy vehicles.

FTA Section 5339 Bus and Bus Facilities Federally Defined Program Eligibility (Statutory Reference: 49USC5339): Capital projects—
(1) to replace, rehabilitate, and purchase buses and related equipment; and
(2) to construct bus-related facilities.

Regional Requirements and Eligibility

Urbanized Area Eligibility
Transit operators are required to submit annual reports to the National Transit Database. Service factors reported in large urbanized areas partially determine the amounts of FTA Section 5307, 5309 FG, 5337 and 5339 funds generated in the region. MTC staff will work with members of the Partnership to coordinate reporting of service factors in order to maximize the amount of funds generated in the region and to determine urbanized area eligibility. An operator is eligible to claim FTA funds only in designated urbanized areas as outlined in Table 1 below. Eligibility is based on geographical operations, NTD reporting, and agreements with operators.

Table 1. Urbanized Area Eligibility

Urbanized Area	Eligible Transit Operators
San Francisco-Oakland	AC Transit, ACE, BART, Caltrain, GGBHTD, Marin County Transit District, SFMTA, SamTrans, Union City Transit, Solano County Transit (ADA Paratransit Operating Set-Aside only), Water Emergency Transportation Authority, WestCAT
San Jose	ACE, Caltrain, VTA
Concord	ACE, BART, CCCTA, LAVTA
Antioch	BART, ECCTA
Santa Rosa	GGBHTD, Santa Rosa City Bus, Sonoma County Transit
Vallejo	Napa Vine on behalf of American Canyon, Solano County Transit
Fairfield	Fairfield-Suisun Transit
Vacaville	Vacaville Transit
Napa	Napa VINE
Livermore	ACE, LAVTA
Gilroy-Morgan Hill	Caltrain, VTA
Petaluma	GGBHTD, Petaluma Transit, Sonoma County Transit

(i) Altamont Commuter Express (ACE) is eligible to claim funds in four of the San Francisco Bay Area's urbanized areas according to Federal Transit Administration statute. ACE has entered into an agreement with other operators eligible to claim funds in the San Jose UA, which prevents ACE from claiming funds in that UA. Likewise, ACE has also determined that they will be reporting their Livermore area revenue miles in the Stockton UA and have elected not to seek funding from the Livermore UA. The project element that the Regional Priority Model would apportion to these two urbanized areas will be deducted from the total amount of their capital request. ACE operates on track privately owned by Union Pacific. Requests for track rehabilitation, maintenance, and or upgrades for funding in the San Francisco-Oakland and Concord UAs will be assessed for eligibility upon review of the ACE and Union Pacific agreement.

(ii) Santa Rosa City Bus and Sonoma County will apportion Santa Rosa urbanized area funding in accordance with previous agreements (75% Santa Rosa City Bus and 25% Sonoma County).

(iii) Golden Gate Bridge and Highway Transportation District (GGBHTD) is eligible to claim funds in the Santa Rosa Urbanized Areas. However, as a result of an agreement between the operators and discussion with the TFWG, GGBHTD will not claim funds from the Santa Rosa UA at this time. However, should it become advantageous to the region for GGBHTD to report revenue miles in the Santa Rosa UA and thereby claim funds in that UA, agreements between the operators will be

re-evaluated. Golden Gate is an eligible claimant for funds in the Petaluma UA, and in years where extensive capital need in other urbanized areas in the region is high; Golden Gate's projects could be funded in the Petaluma UA.

(iv) Funding agreements between operators in the San Jose and Gilroy-Morgan Hill UAs are subject to the conditions outlined in the Caltrain Joint Powers Board Agreement.

(v) Solano County Transit is eligible to receive ADA Paratransit Operating Set-Aside funds (see Section V Programming Policies) from the San Francisco-Oakland urbanized area; all other projects will be programmed from the Vallejo urbanized area.

Eligibility for New Operators
New operators will be required to meet the following criteria before becoming eligible for TCP funding:

- The operator provides public transit services in the San Francisco Bay Area that are compatible with the region's Regional Transportation Plan.
- The operator is an FTA grantee.
- The operator has filed NTD reports for at least two years prior to the first year of programming, e.g., has filed an NTD report for 2011 services and intends to file a report for 2012 to be eligible for FY13 TCP funding.
- The operator has executed a Cooperative Planning Agreement with MTC.
- The operator has submitted a current SRTP or other board-approved capital plan to MTC.

Screening Criteria
A project must conform to the following threshold requirements before the project can be scored and ranked in the TCP project list. Screening criteria envelops three basic areas. The following subheadings are used to group the screening criteria.

- Consistency Requirements;
- Financial Requirements;
- Project Specific Requirements;

Consistency Requirements: The proposed project must be consistent with the currently adopted Regional Transportation Plan (RTP). Smaller projects must be consistent with

the policy direction of the RTP, as the RTP does not go into a sufficient level of detail to specifically list them.

The proposed project must be consistent with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866.

Projects near or crossing county boundaries must be consistent/complementary with the facility (or proposed facility) in the adjacent county.

Projects must be included in an operator's Short Range Transit Plan or other board-approved capital plan, or in an adopted local or regional plan (such as Congestion Management Programs, Countywide transportation plans pursuant to AB3705, the Seaport and Airport Plans, the State Implementation Plan, the Ozone Attainment Plan, the Regional Transportation Plan, and local General Plans).

Financial Requirements: The proposed project has reasonable cost estimates, is supported by an adequate financial plan with all sources of funding identified and a logical cash flow, and has sensible phasing. Transit operators must demonstrate financial capacity, to be documented in the adopted TIP, as required by the FTA. All facilities that require an ongoing operating budget to be useful must demonstrate that such financial capacity exists.

Project Specific Requirements: All projects must be well defined. There must be clear project limits, intended scope of work, and project concept. Planning projects to further define longer range federally eligible projects are acceptable. Examples of projects include:

- Replacement/rehab of one revenue vehicle sub-fleet or ferry vessel; a sub-fleet is defined as the same bus size, manufacturer, and year; or any portion of a train set that reaches the end of its useful life at a common time.

- Train control or traction power replacement/rehab needs for a given year.

- Fixed guideway replacement/rehab needs for a given year (e.g., track replacement and related fixed guideway costs, ferry fixed guideway connectors).

All projects must be well justified, and have a clear need directly addressed by the project.

A proposed project includes an implementation plan that adequately provides for any necessary clearances and approvals.
The proposed project must be advanced to a state of readiness for implementation in the year indicated. For this requirement, a project is considered to be ready if grants for the

project can be obligated within one year of the award date; or in the case of larger construction projects, obligated according to an accepted implementation schedule.

Asset Useful Life
To be eligible for replacement or rehabilitation, assets must meet the following age requirements in the year of programming:

Table 2. Useful Life of Assets

Heavy-Duty Buses, other than Over-the-Road-Coaches*	12 years
Over-the-Road-Coaches*	14 years
Medium-Duty Buses*	10 years
* (or an additional 5 years for buses rehabilitated with TCP funding)	
Van[1]	4, 5, or 7 years, depending on type
Light Rail Vehicle (LRV)	25 years
Trolley	15 years
Heavy Railcar[2]	25 years
Locomotive	25 years
(or an additional 20 years for railcars rehabilitated with TCP funding)	
Heavy/Steel Hull Ferries	30 years
(or an additional 20 years for railcars rehabilitated with TCP funding)	
Light Weight/Aluminum Hull Ferries[3]	25 years
Used Vehicles[4]	Varies by type
Tools and Equipment	10 years
Service Vehicle	7 years
Non-Revenue Vehicle	7 years
Track	Varies by track type
Trolley Overhead/3rd Rail	Varies by type of OVHD/3rd rail
Facility	Varies by facility and component replaced

Notes:
(1) A paratransit van is a specialized van used in paratransit service only such as service for the elderly and handicapped. Three general categories of vans are acceptable in Transit Capital Priorities: Minivans, Standard Conversion Vans, and Small Medium-Duty Coaches. The age requirements for each type are 4, 5, and 7 years respectively.
(2) Includes Caltrain and ACE commuter rail and BART urban rail cars.
(3) Light weight ferries will not generally last beyond a 25-year useful life. Propulsion and major component elements of lightweight ferries can be replaced in TCP without extending the useful life beyond its anticipated useful life of 25 years.
(4) Used vehicles are eligible to receive a proportionate level of funding based on the type of vehicle and number of years of additional service. (See "used vehicle replacement" Section IV, Definition of Project Categories).

Requests to program vehicle replacement funds prior to the first eligible year in order to advance procurements or to replace vehicles with higher than normal maintenance costs will be considered if the proposal has minimal impacts on other operators and can be accommodated within the region's fiscal constraints.

Exceptions for replacement of assets prior to the end of their useful life may be considered only if an operator has secured FTA approval for early retirement, which must occur before the annual apportionment has been released.

Compensation for Bus Replacement Beyond Minimum Useful Life
Operators that voluntarily replace buses or vans beyond the minimum federally eligible useful life specified in Table 2 will be eligible for either of two financial compensations:

Option 1. Operators receive all of the savings, but need to apply the savings to capital replacement and rehab projects (Score 10-16).

Option 2. Operators receive half of the savings to the region created by later replacement of vehicles, which may be programmed to lower scoring eligible projects.

Savings to the region are calculated based on the pricelist cost and minimum useful life of the vehicle type. For example, if replacement of a bus with a 12-year useful life and a $600,000 replacement cost (federal share) is deferred for two years, the savings to the region would be 2/12 x $600,000 = $100,000. Under Option 1, the operator would receive $100,000 for eligible Score 10-16 capital projects. Under Option 2, the operator would receive $50,000, which could be programmed for any eligible project. The region would retain the other $50,000 in savings to be programmed to other needs in accordance with the TCP policy. Operators may choose between Option 1 and Option 2.

For operators that are proposing to take advantage of the bus replacement compensation, the vehicles being replaced must be older than the age requirements listed above. It is the operator's responsibility to ensure that vehicle replacement requests beyond the minimum useful life maintain a state of good repair for the assets. Requests to activate this policy option should be noted when transmitting project applications to MTC.

Project Funding Caps
In order to prevent committing a significant portion of the programming to an operator in any one year, the following annual funding ceilings for projects are established:

Revenue vehicle replacement projects cannot exceed $20 million for buses or $30 million for rail car or ferry vessel replacement and rehabilitation projects, in the aggregate for both Section 5307 and Section 5309 FG programs. If the cost of the vehicle procurement exceeds the annual cap, the difference will be programmed in subsequent years subject to availability of funds.

Fixed guideway replacement and rehabilitation projects in the aggregate cannot exceed the amounts specified for each fixed guideway operator in Table 3. The total amount of the caps is maintained at $115 million based on the updated CIP projections. Each operator's cap is based on its share of the updated fixed guideway need projections prepared for the proposed Plan Bay Area RTP, with a floor applied so that no operator's cap is reduced by more than 5% from their prior cap. The current cap for WETA includes the previous cap for Vallejo Transit to reflect the transition of Vallejo's ferry service to WETA.

When developing the proposed TCP programs for FY2012-13 and FY2013-14, the fixed guideway caps may be increased or decreased proportionally, depending on the aggregate demand for Score 16 projects compared to projected revenues. Operators have the option of submitting contingent fixed guideway programming requests equal to 20% of the operator's cap, in addition to requests for programming the cap amount. The contingent requests will be programmed if the program's fiscal balance allows the region to increase the caps.

Table 3. Fixed Guideway Caps

FG Operator	Project Category	Fixed Guideway Cap
ACE[1]	All Eligible FG Categories	$1,387,000
BART	All Eligible FG Categories	45,067,900
Caltrain	All Eligible FG Categories	12,606,500
GGBHTD	All Eligible FG Categories	5,377,000
SFMTA	All Eligible FG Categories	34,592,100
VTA	All Eligible FG Categories	8,977,500
WETA	All Eligible FG Categories	6,992,000

The cap amount may be programmed to any projects that are eligible for FTA Section 5309 FG or Section 5337 funding and that fall into one of the following categories:

- Track/Guideway Replacement/Rehabilitation
- Traction Power Systems Replacement/Rehabilitation
- Train Control/Signaling Replacement/Rehabilitation
- Dredging
- Ferry Fixed Guideway Connectors Replacement/Rehabilitation
- Ferry Major Component Replacement/Rehabilitation
- Ferry Propulsion Replacement/Rehabilitation

- Cable Car Infrastructure Replacement/Rehabilitation

- Wayside Fare Collection Equipment Replacement/Rehabilitation

Programming for all projects that fall within these categories must be within the operator's cap amount.

Operators may request a one-year waiver to use fixed guideway cap funds for other capital needs that are not included in one of the eligible project categories listed above if the operator can demonstrate that the other capital needs can be addressed by the one-year waiver, or that the use of fixed guideway cap funds is part of a multi-year plan to address the other capital needs. The operator must also demonstrate that the waiver will have minimal impact on the operator's ability to meet its fixed guideway capital needs.

Other replacement projects cannot exceed $5 million. This cap applies to non-vehicle and non-fixed guideway Score 16 projects, including communications systems, bus fare collection equipment (fixed guideway wayside fare collection equipment is covered under the fixed guideway caps), and bus emission reduction devices; and lower scoring replacement projects. Vehicle rehabilitation projects that are treated as Score 16 because the life of the asset is being extended (see Asset Useful Life above) are also subject to this cap. If project costs exceed the cap, the difference will not automatically be programmed in subsequent years; the region will assess its ability to program additional funding year-by-year based on projected revenues and demand for other Score 16 needs.

Expansion or enhancement projects cannot exceed $3.75 million.

As part of the region's 10-year Capital Improvement Program, project caps may be increased or decreased on an annual basis in order to better match programming to available revenues, subject to negotiation and agreement among operators and MTC; however, over a multi-year period, the caps must average to the amounts indicated above in order to keep the TCP program within its fiscal constraints.

Exceptions to these annual funding ceilings will be considered by MTC and the TFWG on a case-by-case basis after evaluating programming requested through the call for projects, and the region's estimated fiscal resources. For large rehabilitation programs, MTC may conduct negotiations with the appropriate sponsor to discuss financing options and programming commitments.

Bus-Van Pricelist
Requests for funding for buses and vans cannot exceed the prices in the Regional Bus-Van Pricelist for each year of the TCP program as shown in Table 4 and Table 5. If an operator elects to replace vehicles with vehicles of a different fuel type, the price listed for the new fuel type vehicle applies, e.g., if an operator is replacing diesel buses with

diesel-electric hybrid buses, the operator may request funds up to the amount listed for hybrid buses.

Note that bus prices include allowances for radios, fareboxes and Clipper wiring and brackets. It should be noted in the project description if buses will be procured without these items, and programmed amounts will be adjusted as specified in the pricelist. Operators are encouraged to include Clipper wiring and brackets in all new buses, so the buses are Clipper-ready without requiring additional expenses.

Table 4: Regional Bus-Van Pricelist, FY2012-13

Vehicle Type	Total	Federal	Local	Federal %	Local %
Auto	30,000	25,033	4,967	83.44%	16.56%
Minivan Under 22'	54,000	45,059	8,941	83.44%	16.56%
Cut-Away/Van Under 26', 4 or 5-Year, Gas	82,000	66,932	15,068	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, Diese	110,000	89,787	20,213	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, CNG	123,000	100,398	22,602	81.62%	18.38%
Cut-Away/Van Under 26', 7-Year, Gas	115,000	95,450	19,550	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, Diesel	155,000	128,649	26,351	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, CNG	173,000	143,589	29,411	83.00%	17.00%
Cut-Away/Van 26'+, 4 or 5-Year, Gas	87,000	71,013	15,987	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, Diesel	116,000	94,684	21,316	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, CNG	131,000	106,928	24,072	81.62%	18.38%
Cut-Away/Van 26'+, 7-Year, Gas	121,000	100,430	20,570	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, Diesel	163,000	135,289	27,711	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, CNG	181,000	150,229	30,771	83.00%	17.00%
Transit Bus 30' Diesel	503,000	405,697	97,303	80.66%	19.34%
Transit Bus 30' CNG	561,000	452,478	108,522	80.66%	19.34%
Transit Bus 30' Hybrid	679,000	547,651	131,349	80.66%	19.34%
Transit Bus 35' Diesel	517,000	416,896	100,104	80.64%	19.36%
Transit Bus 35' CNG	579,000	466,891	112,109	80.64%	19.36%
Transit Bus 35' Hybrid	698,000	562,850	135,150	80.64%	19.36%
Transit Bus 40' Diesel	533,000	429,715	103,285	80.62%	19.38%
Transit Bus 40' CNG	595,000	479,701	115,299	80.62%	19.38%
Transit Bus 40' Hybrid	719,000	579,672	139,328	80.62%	19.38%
Suburban Bus 45' Diesel	622,000	500,769	121,231	80.51%	19.49%
Over-the-Road 40' Diesel	622,000	500,769	121,231	80.51%	19.49%
Over-the-Road 40' CNG	696,000	560,346	135,654	80.51%	19.49%
Over-the-Road 40' Hybrid	839,000	675,475	163,525	80.51%	19.49%
Over-the-Road 45' Diesel	671,000	540,219	130,781	80.51%	19.49%
Over-the-Road 45' CNG	752,000	605,432	146,568	80.51%	19.49%
Over-the-Road 45' Hybrid	906,000	729,416	176,584	80.51%	19.49%
Over-the-Road 60' Diesel	885,000	711,480	173,520	80.39%	19.61%
Over-the-Road 60' CNG	991,000	796,697	194,303	80.39%	19.61%
Over-the-Road 60' Hybrid	1,195,000	960,699	234,301	80.39%	19.61%
Articulated 60' Diesel	753,000	605,361	147,639	80.39%	19.61%
Articulated 60' CNG	843,000	677,715	165,285	80.39%	19.61%
Articulated 60' Hybrid	1,016,000	816,795	199,205	80.39%	19.61%
Notes:					
Prices escalated 2.0% annually, rounded to nearest $1,000					
Prices for buses and cut-aways include allowances for radios, fareboxes and Clipper wiring and brackets.					
To calculate price without fareboxes and radios multiply values by .9822					
To calculate price without fareboxes multiply values by .9862					
To calculate price without radios multiply values by .9960					
To calculate price without Clipper wiring and brackets subtract $1,673					
For buses with dual-side doors, add $50,000 to Total ($40,000 Federal, $10,000 Local)					

Table 5: Regional Bus-Van Pricelist, FY2013-14

Vehicle Type	Total	Federal	Local	Federal %	Local %
Auto	31,000	25,867	5,133	83.44%	16.56%
Minivan Under 22'	55,000	45,893	9,107	83.44%	16.56%
Cut-Away/Van Under 26', 4 or 5-Year, Gas	84,000	68,564	15,436	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, Diesel	112,000	91,419	20,581	81.62%	18.38%
Cut-Away/Van Under 26', 4 or 5-Year, CNG	125,000	102,030	22,970	81.62%	18.38%
Cut-Away/Van Under 26', 7-Year, Gas	117,000	97,110	19,890	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, Diesel	158,000	131,139	26,861	83.00%	17.00%
Cut-Away/Van Under 26', 7-Year, CNG	176,000	146,079	29,921	83.00%	17.00%
Cut-Away/Van 26'+, 4 or 5-Year, Gas	89,000	72,646	16,354	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, Diesel	118,000	96,317	21,683	81.62%	18.38%
Cut-Away/Van 26'+, 4 or 5-Year, CNG	134,000	109,377	24,623	81.62%	18.38%
Cut-Away/Van 26'+, 7-Year, Gas	123,000	102,090	20,910	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, Diesel	166,000	137,779	28,221	83.00%	17.00%
Cut-Away/Van 26'+, 7-Year, CNG	185,000	153,549	31,451	83.00%	17.00%
Transit Bus 30' Diesel	513,000	413,763	99,237	80.66%	19.34%
Transit Bus 30' CNG	572,000	461,350	110,650	80.66%	19.34%
Transit Bus 30' Hybrid	693,000	558,943	134,057	80.66%	19.34%
Transit Bus 35' Diesel	527,000	424,960	102,040	80.64%	19.36%
Transit Bus 35' CNG	591,000	476,568	114,432	80.64%	19.36%
Transit Bus 35' Hybrid	712,000	574,139	137,861	80.64%	19.36%
Transit Bus 40' Diesel	544,000	438,584	105,416	80.62%	19.38%
Transit Bus 40' CNG	607,000	489,376	117,624	80.62%	19.38%
Transit Bus 40' Hybrid	733,000	590,959	142,041	80.62%	19.38%
Suburban Bus 45' Diesel	634,000	510,430	123,570	80.51%	19.49%
Over-the-Road 40' Diesel	634,000	510,430	123,570	80.51%	19.49%
Over-the-Road 40' CNG	710,000	571,618	138,382	80.51%	19.49%
Over-the-Road 40' Hybrid	856,000	689,162	166,838	80.51%	19.49%
Over-the-Road 45' Diesel	684,000	550,685	133,315	80.51%	19.49%
Over-the-Road 45' CNG	767,000	617,508	149,492	80.51%	19.49%
Over-the-Road 45' Hybrid	924,000	743,908	180,092	80.51%	19.49%
Over-the-Road 60' Diesel	903,000	725,951	177,049	80.39%	19.61%
Over-the-Road 60' CNG	1,011,000	812,776	198,224	80.39%	19.61%
Over-the-Road 60' Hybrid	1,219,000	979,993	239,007	80.39%	19.61%
Articulated 60' Diesel	768,000	617,420	150,580	80.39%	19.61%
Articulated 60' CNG	860,000	691,382	168,618	80.39%	19.61%
Articulated 60' Hybrid	1,036,000	832,874	203,126	80.39%	19.61%
Notes:					
Prices escalated 2.0% annually, rounded to nearest $1,000					
Prices for buses and cut-aways include allowances for radios, fareboxes and Clipper wiring and brackets.					
To calculate price without fareboxes and radios multiply values by .9822					
To calculate price without fareboxes multiply values by .9862					
To calculate price without radios multiply values by .9960					
To calculate price without Clipper wiring and brackets subtract $1,706					
For buses with dual-side doors, add $50,000 to Total ($40,000 Federal, $10,000 Local)					

C. Project Definition and Scoring

Project Scoring
All projects submitted to MTC for TCP programming consideration that have passed the screening process will be assigned scores by project category as indicated in Table 6.

Table 6. Project Scores

Project Category/Description	Project Score
Revenue Vehicle Replacement	**16**
Vehicle Replacement - replacement of a revenue vehicle at the end of its useful life (see Asset Useful Life above). Vehicles previously purchased with revenue sources other than federal funds are eligible for FTA formula funding as long as vehicles meet the replacement age. Vehicles are to be replaced with vehicles of similar size (up to 5' size differential) and seating capacity, e.g., a 40-foot coach replaced with a 40-foot coach and not an articulated vehicle. If an operator is electing to purchase smaller buses, or do a sub-fleet reconfiguration, the replacement sub-fleet will have a comparable number of seats as the vehicles being replaced. Paratransit vehicles can be replaced with the next larger vehicle providing the existing vehicle is operated for the useful life period of the vehicle that it is being upgraded to. Any other significant upgrade in size will be considered as vehicle expansion and not vehicle replacement. For urgent replacements not the result of deferred maintenance and replacement of assets 20% older than the usual replacement cycle (e.g., 12 or 16 years for buses depending on type of bus), a project may receive an additional point.	
Revenue Vehicle Rehabilitation	**16**
Vehicle Rehabilitation - major maintenance, designed to extend the useful life of a revenue vehicle (+5 years for buses, +20 years for railcars, +20 years for heavy hull ferries). Rehabilitation of historic railcars, which have, by definition, extended useful lives, is included in this category.	
Used Vehicle Replacement	**16**
Used Vehicle Replacement - replacement of a vehicle purchased used (applicable to buses, ferries, and rail cars) is eligible for federal, state, and local funding that MTC administers. Funds in this category include FTA Section 5307, STP, CMAQ, STIP, and Net Toll Revenues. However, funding for replacement of the used vehicle will be limited to a proportionate share of the total project cost, equal to the number of years the used vehicle is operated beyond its standard useful life divided by its standard useful life (e.g., if a transit property retained and operated a used transit bus for 5 years, it is eligible to receive $5/12^{th}$ of the allowable programming for the project).	
Fixed Guideway Replacement / Rehabilitation	**16**

Rehabilitation/Replacement Fixed Guideway - projects replacing or rehabilitating fixed guideway equipment at the end of its useful life, including rail, guideway, bridges, traction power systems, wayside train control systems, overhead wires, cable car infrastructure, and computer/communications systems with a primary purpose of communicating with or controlling fixed guideway equipment. Projects in this category are subject to fixed guideway project caps.	
Ferry Propulsion Systems	**16**
Ferry Propulsion Replacement—projects defined as the mid-life replacement and rehabilitation of ferry propulsion systems in order that vessels are able to reach their 25-year useful life. Projects in this category are subject to fixed guideway project caps.	
Ferry Major Component	**16**
Ferry Major Components—projects associated with propulsion system, inspection, and navigational equipment required to reach the full economic life of a ferry vessel. Projects in this category are subject to fixed guideway project caps.	
Ferry Fixed Guideway Connectors	**16**
Ferry Fixed Guideway Connectors—floats, gangways, and ramps associated with the safe moorage and boarding of passengers to/from ferry vessels. Projects in this category are subject to fixed guideway project caps.	
Revenue Vehicle Communication Equipment	**16**
Communication Equipment - Includes computer/communications systems with a primary purpose of communicating with and/or location/navigation of revenue vehicles, such as GPS/AVL systems. For operators who replace radios and base stations when the revenue vehicle/vessel is replaced, no additional system wide replacement will be funded through the regional capital priorities. For bus operators who elect the system wide replacement option, the regional participation in the project will be constrained by the radio allowance in the standard bus price (provided that the radio/base station is not replaced prior to the applicable replacement cycle).	
Non-Clipper® Fare Collection/Fareboxes	**16**
Revenue vehicle and wayside fare equipment are eligible for replacement as score 16. The maximum programming allowance for revenue vehicle fare equipment purchased separately from revenue vehicles is outlined in Section III, Project Funding Caps, providing the fare equipment is not replaced prior to the 12-year replacement cycle for buses. Fare equipment must be compatible with the Clipper® fare collection system.	
Clipper®	**16**
Clipper® - replacement of Clipper® fare collection equipment related to revenue vehicles and faregates.	

Bus Diesel Emission Reduction Devices	**16**
Bus diesel emission reduction devices or device components required to meet or exceed California Air Resources Board requirements, including first-time retrofits, upgrades, replacements and spares. Devices or components must be installed on buses that will remain in service until at least 2017 in order to be treated as Score 16. Only spares up to 10% of the operator's current device inventory will be treated as Score 16. Bus diesel emission device projects treated as Score 16 require a 50% local match. Devices or components installed on buses scheduled to be replaced prior to 2017, and spares in excess of 10% of the operator's inventory, will be treated as Preventive Maintenance (Score 9). See Section V. Programming Policies, Bus Diesel Emission Reduction Device Funding Program.	
Safety	**15**
Safety/Security - projects addressing potential threats to life and/or property. The project may be maintenance of existing equipment or new safety capital investments. Includes computer/communications systems with a primary purpose of communicating with/controlling safety systems, including ventilation fans, fire suppression, fire alarm, intruder detection, CCTV cameras, and emergency "blue light" phones. Adequate justification that the proposed project will address safety and/or security issues must be provided. The TFWG will be provided an opportunity to review proposed projects before a project is programmed funds in a final program.	
ADA/Non Vehicle Access Improvement	**14**
ADA - capital projects needed for ADA *compliance*. Does not cover routine replacement of ADA-related capital items. Project sponsor must provide detailed justification that the project is proposed to comply with ADA. Subject to TFWG review.	
Fixed/Heavy Equipment, Maintenance/Operating Facilities	**13**
Fixed/Heavy equipment and Operations/Maintenance facility - replacement/rehabilitation of major maintenance equipment, generally with a unit value over $10,000; replacement/rehabilitation of facilities on a schedule based upon the useful life of the components.	
Station/Intermodal Stations/Parking Rehabilitation	**12**
Stations/Intermodal Centers/Patron Parking Replacement/Rehab - replacement/rehabilitation of passenger facilities. Includes computer/communications systems with a primary purpose of communicating with/controlling escalators or elevators, and public address or platform display systems at stations or platforms.	
Service Vehicles	**11**
Service Vehicles - replacement/rehabilitation of non-revenue and service vehicles based on useful life schedules.	

Tools and Equipment	**10**
Tools and Equipment - maintenance tools and equipment, generally with a unit value below $10,000.	
Office Equipment	**9**
Office Equipment - computers, copiers, fax machines, etc. Includes administrative - MIS, financial, HR, scheduling, and maintenance management systems.	
Preventive Maintenance	**9**
Preventive Maintenance - ongoing maintenance expenses (including labor and capital costs) of revenue and non-revenue vehicles that do not extend the life of the vehicle. This includes mid-life change-out of tires, tubes, engines and transmissions that do not extend the life of the vehicle beyond the twelve years life cycle. Preventive Maintenance may be treated as Score 16 under certain circumstances; see Section V. Programming Policies, Preventive Maintenance Funding.	
Operational Improvements/Enhancements	**8**
Operational Improvement/Enhancements - any project proposed to improve and/or enhance the efficiency of a transit facility.	
Operations	**8**
Operations—costs associated with transit operations such as the ongoing maintenance of transit vehicles including the cost of salaries. See Section V, Limited Use of FTA Funds for Operating Purposes.	
Expansion	**8**
Expansion - any project needed to support expanded service levels.	

D. PROGRAMMING POLICIES

Project Apportionment Model for Eligible Urbanized Areas
There are four elements that need to be considered to determine operators' urbanized area apportionment: multi-county agreements, high scoring capital needs, the 10% ADA set-aside amounts, the Lifeline set-aside amounts, and the Unanticipated Costs Reserve. The Regional Priority Model, as explained in paragraph (a), establishes funding priority for apportioning high scoring capital projects to eligible urbanized areas. Funding may be limited by multi-county agreements as explained in Paragraph (b) below. Eligible programming revenues are net of the the 10% ADA set-aside discussed in paragraph (c) below, and the Vehicle Procurement Reserve, if any, described at the end of this section.

a) *Regional Priority Programming Model*: The 2000 census changes to the region's urbanized areas made numerous operators eligible to claim funds in more than one urbanized area. This has necessitated a procedure for apportioning projects to eligible urbanized areas. The *Regional Priority Model,* as described below, was fashioned to prioritize funds for the replacement of the region's transit capital plant, while minimizing the impact of the 2000 census boundary changes. The 2010 census did not result in any major changes to the region's urbanized areas.

The model assumes a regional programming perspective and constrains regional capital demand to the amount of funds available to the region, prior to apportioning projects to urbanized areas. It then apportions projects to urbanized areas in the following order:

i. Funds are apportioned first for operators that are the exclusive claimant in a single UA (e.g., LAVTA, Fairfield, etc.)

ii. Fund projects for operators that are restricted to receiving funds in one urbanized area (e.g., SFMTA, AC, WestCAT, CCCTA, etc.)

iii. Fund balance of operator projects among multiple urbanized areas, as eligibility allows, with the objective of fully funding as many high scoring projects as possible.

iv. Reduce capital projects proportionately in urbanized areas where need exceeds funds available.

v. Fund lower scoring projects (additional programming flexibility) to operators in urbanized areas where apportionments exceed project need.

b) *Multi-County Agreements*: For some operators, urbanized area (UA) apportionments are guided by multi-county agreements. Aside from the acknowledged agreements, funds are apportioned based on the regional priority model.

There are three specific agreements that are being honored under the negotiated multi-county agreement model: the Caltrain Joint Powers Board Agreement, the Altamont Commuter Express (ACE) Cooperative Services Agreement and the Sonoma County-Santa Rosa City Bus Agreement.

Consideration for future agreements will include representation from each interested county, interested transit property, or an appointed designee, and be approved by all operators in the affected UA and MTC.

c) *10% ADA Paratransit Service Set-Aside*: MAP-21 caps the share of each urbanized area's Section 5307 apportionment that can be programmed for ADA paratransit service operating costs at 10%. An amount equal to 10% of each participating urbanized area's FTA Section 5307 apportionment will be set-aside to assist operators in defraying ADA paratransit operating expenses. The purpose of this set-aside is to ensure that in any one year, a transit operator can use these funds to provide ADA service levels necessary to maintain compliance with the federal law, without impacting existing levels of fixed route service. ADA set-aside programmed to small UA operators will not impact eligible programming amounts in large UAs. Table 7 shows the percentages by operator and urbanized area for this programming period.

Table 7: ADA Set-aside Amounts by Urbanized Area and Operator

Operator	San Francisco-Oakland	San Jose	Concord	Antioch	Vallejo	Livermore	Gilroy-MH
AC Transit	31.1%						
ACE	1.7%		14.1%				
BART	14.7%		46.0%	22.2%			
Caltrain	3.3%	15.0%					
CCCTA			32.3%				
Fairfield-Suisun Transit	Not Applicable						
GGBHTD	3.5%						
LAVTA			7.6%			100.0%	
Marin County Transit	5.3%						
Napa VINE					7.0%		
SFMTA	29.5%						
SamTrans	7.8%						
SCVTA		85.0%					100.0%
SolTrans	2.1%				93.0%		
SR City Bus	Not Applicable						
Sonoma Cty Transit	Not Applicable						
Tri-Delta				77.8%			
Union City							
Vacaville	Not Applicable						
WestCat	0.9%						
Total	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**	**100.0%**
Notes:							
1) Urbanized Areas not shown are not participating in 10% ADA set-aside policy.							
2) Formula roughly based on generations with an element of the rail operator portion allotted to bus operators because bus operators generally shoulder a greater share of the ADA operations.							
3) To calculate funding amounts, multiply 10% of related urbanized area revenue estimate against percentages shown for operators in that urbanized area.							
4) Formula amended April 2013 to split GGBHTD share with Marin County Transit per agreement between the two operators.							

An operator may use its share of the FTA Section 5307 set-aside for capital purposes or preventive maintenance if the operator can certify that:

- Their ADA paratransit operating costs are fully funded in its proposed annual budget;

- For jointly funded paratransit services, operators' FTA Section 5307 ADA set-aside shares have been jointly considered in making decisions on ADA service levels and revenues.

If MTC is satisfied with the operator's certification, the operator may re-program its set-aside for any unfunded transit capital projects or preventive maintenance. To ensure that the Section 5307 10% set-aside funding is duly considered for annual ADA paratransit needs, there will be no multi-year programming of the 10% ADA set-aside to capital-only purposes.

d) *Lifeline Set-Aside*: MAP-21 eliminated the Job Access and Reverse Commute (JARC) program (Section 5316) and combined JARC functions and funding with the

Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were made eligible for 5307 funding, and 3.07% of 5307 appropriations will be apportioned by the JARC low-income formula. However, there are no minimum or maximum amounts that can be programmed for JARC projects.

The region has historically used JARC funds apportioned to large urbanized areas to support the Lifeline program. The adopted Lifeline programs for FY2012 and FY2013 each assumed approximately $2.8 million in JARC funding from large urbanized areas, about $200,000 over the actual FY2012 apportionments, and $400,000 over the projected FY2013 apportionment.

JARC funds apportioned to small urbanized areas were managed by Caltrans before MAP-21 was enacted. At the time this policy is being developed, it is uncertain whether Caltrans will continue to manage Section 5307 funds that are apportioned by the JARC formula in small urbanized areas, or whether this responsibility will be transferred to MTC as the designated recipient for Section 5307 for small urbanized areas in the region.

In recognition of the changes to the JARC program and the continued need for funding for the Lifeline program:

- The first priority for 5307 funds apportioned by the JARC formula is the Lifeline program;
- In the FY2012-13 Section 5307 program, approximately $3.0 million of large urbanized area funds will be set aside for the Lifeline program (approximately $2.8 million for the FY2013 program and $200,000 for the FY2012 shortfall);
- In the FY2013-14 Section 5307 program, funds equivalent to the JARC formula apportionments to large urbanized areas, currently projected to total approximately $2.4 million, will be set aside for the FY2014 Lifeline program;
- FY2013 and FY2014 Section 5307 funds equivalent to FTA's estimates of JARC formula apportionments to small urbanized areas will be held in reserve while MTC staff works with Caltrans to determine the process for programming Section 5307 funds apportioned by the JARC formula in small urbanized areas. If MTC manages these funds, the first priority for the reserved funds will be Lifeline projects in small UAs.
- Section 5307 funds programmed for JARC projects shall be subject to the Lifeline Program guidelines in effect for that year of programming, rather than to the TCP Policies, provided such projects are consistent with federal laws and regulations related to Section 5307.

e) *Unanticipated Costs Reserve*: Unanticipated costs, such as capital improvements required to comply with new regulations, can be difficult to accommodate in the TCP program after the preliminary program has been developed and adopted. To improve the region's ability to provide funding to meet such unanticipated costs, a reserve of approximately $1 million of Section 5307 funds and $1 million of Section 5337 funds will be set aside before developing the preliminary programs for FY2012-13 and FY2013-14. The reserve will be set aside from all urbanized areas proportional to each urbanized area's projected apportionments in each program. Any proposals to program from the reserve will be reviewed with the Transit Finance Working Group. Any Unanticipated Cost Reserve funds that are not programmed will roll over and be available for programming in the following year.

Limited Use of FTA Funds for Operating Purposes
FTA permits the use of FTA Section 5307 small urbanized funds to be used for operating purposes. For operators eligible to claim in both large and small urbanized areas, the amount of funds used for operating will be deducted from the amount of capital claimed in the large UA.

MAP-21 provides new eligibility for small and medium-sized bus operators in large urbanized areas to use Section 5307 funds for operating assistance. For operators with up to 75 buses, 75% of the urbanized area's apportionment attributable to the operator (as measured by vehicle revenue hours) may be programmed for operating assistance. For operators with up to 76 to 100 buses, 50% of the urbanized area's apportionment attributable to the operator (as measured by vehicle revenue hours) may be programmed for operating assistance. Eligible operators may request operating assistance up to the maximum eligible amount, but operating assistance will be programmed only after higher scoring projects in the urbanized area are funded. Operating assistance requests will be treated at Score 8 in the programming process (see Table 6 Project Scores above).

Specified Urbanized Area Flexibility
In urbanized areas with only one transit operator (Fairfield, Vacaville, Napa) greater flexibility for funding lower scoring projects will be allowed, providing that other operators in the region are not impacted. These operators will also be allowed to use funds for operating, without reduction of funding for capital projects, providing that capital is adequately maintained and replaced on a reasonable schedule as outlined in each operator's SRTP or other board-approved capital plan, and in accordance with goals outlined in the RTP for maintaining the region's capital plant (maintenance of effort).

Associated Transit Improvements
MAP-21 requires that 1% of the FTA section 5307 apportionments in large urbanized areas be programmed for Associated Transit Improvements (formerly referred to as transit enhancements). Eligible projects include:

(A) historic preservation, rehabilitation, and operation of historic public transportation buildings, structures, and facilities (including historic bus and railroad facilities) intended for use in public transportation service;
(B) bus shelters;
(C) landscaping and streetscaping, including benches, trash receptacles, and street lights;
(D) pedestrian access and walkways;
(E) bicycle access, including bicycle storage facilities and installing equipment for transporting bicycles on public transportation vehicles;
(F) signage; or
(G) enhanced access for persons with disabilities to public transportation.

Due to the overwhelming needs to sustain the current transit capital plant, funded score 16 projects which can be identified as eligible Associated Transit Improvement project candidates would count against the 1% requirement, including, but not limited to, rehabilitation of cable cars and historic cars, and bike racks to be procured as part of a bus purchase. Any remaining balance will be put into a reserve for funding eligible projects in subsequent years.

Preventive Maintenance Funding
Preventive maintenance will be considered a Score 9 funding priority in Transit Capital Priorities, unless the conditions for one of the following four policy elements are met, in which case preventive maintenance will be treated as Score 16. For an individual operator to make use of preventive maintenance funding, other operators in the region must be able to move forward with planned capital replacement. It is the intent of this policy that funding for preventive maintenance will not increase the region's transit capital shortfall.

a) *Funding Exchange*: Operators who wish to exchange a capital project for preventive maintenance funding in order to use their local or state funds to ease federal constraints or strictly as a financing mechanism may do so providing that the replacement asset funded with local funds is comparable to the asset being replaced and is maintained in service by the purchasing operator for its full useful life as outlined in Section V. The Funding Exchange element can be applied to lower scoring capital projects as well as preventive maintenance. Operators using the Funding Exchange element must certify in writing that the assets will be replaced with non-federal funds.

b) *Capital Exchange*: In this option, an operator could elect to remove an eligible capital project from TCP funding consideration for the useful life of the asset in exchange for preventive maintenance funding. The funding is limited to the amount of capital funding an operator would have received under the current TCP policy in a normal economic climate. If an operator elects to replace the asset - removed from regional competition for funding under these provisions – earlier than the timeline established for its useful life, the replacement will be considered an expansion project. Operators using the Capital Exchange element will be limited to two years preventive

maintenance funding within a 12-year period.

c) *Negotiated Agreement within an Urbanized Area*: In the third option, an operator may negotiate with the other operators in the affected urbanized areas to receive an amount of preventive maintenance funding, providing that a firewall is established between the affected urbanized area(s) and all other urbanized areas. This will ensure that other operators' high-scoring capital replacement projects are not jeopardized.

d) *Budgetary Shortfalls*: Requests for preventive maintenance to meet budgetary shortfalls will be considered on a case-by-case basis if a fiscal need can be demonstrated by the requesting operator based on the guidelines outlined below. MTC must declare that a fiscal need exists to fund preventive maintenance where such action would displace higher scoring capital projects ready to move forward in a given fiscal year. A fiscal need can be declared if the following conditions exist:

- An operator must demonstrate that all reasonable cost control and revenue generation strategies have been implemented and that a residual shortfall remains.
- An operator can demonstrate that the shortfall, if not addressed, would result in a significant service reduction.

The Commission will consider the severity of the shortfall and the scope and impact of the service cuts in determining whether fiscal need exists. Operators establishing a fiscal need must also adhere to the following four requirements in order to be eligible to receive funding for preventive maintenance:

i. Operators must successfully show a board approved bridging strategy that will sustain financial recovery beyond the year for which preventive maintenance is requested.

ii. The bridging strategy should not rely on future preventive maintenance funding to achieve a balanced budget. In other words, should a service adjustment be required to balance the budget over the long run, preventive maintenance should not be invoked as a stopgap to inevitable service reductions.

iii. Funds programmed to preventive maintenance should not be considered as a mechanism to sustain or replenish operating reserves.

iv. Operators requesting FTA formula funds will be limited to two years preventive maintenance funding within a 12-year period.

The requesting operator will enter into an MOU with MTC or other formal agreement or action, such as Board approvals, and if applicable, with other transit properties affected by the preventive maintenance agreement. The agreement or actions will

embody the four eligibility requirements outlined above as well as any other relevant terms and conditions of the agreement.

Bus Diesel Emission Reduction Device Funding Program
MTC provided approximately $14 million in CMAQ funds in FY2003-04 and FY2004-05 to assist with the procurement of approximately 1,600 bus emission reduction devices to help operators meet California Air Resources Board (CARB) requirements. The devices have reached or are approaching the end of their five-year warranty period, and some of the devices or their components may need to be replaced. New upgraded devices also provide greater NOx reduction benefits than the original devices. In addition, first-time retrofits are required for some of the region's older buses in order to meet CARB requirements.

- In response to the need to install or replace bus diesel emission reduction devices to comply with CARB requirements, the Transit Capital Priorities policy includes a bus emission reduction device funding program. The elements of this policy attempt to strike a balance between facilitating operators' ability to remain in compliance with CARB requirements and to exceed those requirements by achieving greater NOx reductions on the one hand, and making the most effective use of the region's limited capital funds on the other. The elements of bus emission reduction device replacement program are:

- Requests to replace bus emission reduction devices or device components in order to maintain compliance with or exceed CARB requirements, including first-time retrofits, upgrades, replacements and spares, will be treated as Score 16 projects, subject to the following requirements.

- In order to be treated as Score 16, devices or components must be installed on buses that are scheduled to remain in service until at least 2017 for funds programmed in FY2012-13, and until at least 2018 for funds programmed in FY2013-14. Devices or components to be installed on buses that are scheduled to be replaced prior to the specified years will be treated as Preventive Maintenance (Score 9).

- Requests to procure spare devices or components up to 10% of the operators current device inventory will be treated as Score 16. Spare devices or components in excess of 10% of the inventory will be treated as Preventive Maintenance (Score 9)

- Projects treated as Score 16 under the bus emission reduction device funding program require a 50% local match, rather than the standard 20%. The intent of this element is to encourage cost-effective use of the region's limited capital funding, and to align with the original policy for procuring the devices, which had the regional contribution to NOx reduction and the local contribution for PM reduction.

- Participation in the program is entirely voluntary. It is the responsibility of each operator to determine the best approach to achieving and maintaining compliance with CARB requirements.

Vehicle Procurement Reserves
The TCP program for FY2010-11 and FY2011-12 included a vehicle procurement reserve which set-aside $150 million of revenues to help meet the future peak expenditures for major vehicle procurement projects, including BART's and Caltrain's railcar replacements, and SFMTA's trolley car replacement, and closely related projects (such as the Caltrain electrification program). Most of the costs for the major procurements will be incurred in the FY2015 to FY2018 period, causing total Score 16 needs in those years to far exceed projected revenues, while revenues during the FY2011 to FY2012 period were expected to exceed capped Score 16 needs.

The proposed TCP program for FY2012-13 and FY2013-14 may include a second Vehicle Procurement Reserve, depending on projected FTA revenues, updated schedules and programming needs for the major vehicle procurement projects, and the demand for funding for other high-scoring capital projects.

Conditioning Programming on Expenditure of Prior Grants
The intent of this policy element is to direct the region's limited funds to the projects most in need of additional resources. If an operator requests TCP funds for a project which received funding in prior years, and the prior-year grants have significant unexpended balances (as determined by reviewing FTA TEAM disbursement reports) at the time the program is being developed, MTC staff will request that the operator provide a justification for the additional programming, and will review the justification for reasonableness before recommending additional funding for the project. The justification for additional programming could include any of the following elements:

- A funding plan for the project that demonstrates the need for funding over multiple years;

- Demonstration that the unexpended funds are under contract or otherwise encumbered;

- A schedule for drawing down the unexpended balance as the project is completed;

- Demonstration that the unexpended balance of the grant is for a project other than the project for which additional funding is being requested.

Joint Procurements
In recognition of the policy direction of the Transit Sustainability Project Resolution No. 3060, before TCP funds are programmed for revenue vehicles, non-revenue vehicles, communications and vehicle location systems, fare collection equipment, bus emission

reduction devices, computer systems, including management information systems and maintenance/asset management systems, or other equipment, operators must evaluate and pursue, as appropriate, opportunities for joint procurements and integrated operations with other operators. MTC will coordinate discussions if requested.

Transit Asset Management

MAP-21 requires FTA funding recipients to develop transit asset management (TAM) plans, including capital asset inventories and condition assessments, report asset inventory and condition data to the National Transit Database (NTD), and to develop TAM performance measures, targets and reports. FTA has one year from the enactment of MAP-21 to issue a final rule implementing TAM requirements. The region is relatively well positioned to meet the new TAM requirements due to development of the Regional Transit Capital Inventory (RTCI) and the use of FTA's TERM model to assess asset conditions and project capital needs, but individual operators vary widely in their approaches to TAM. In order to effectively comply with the new TAM requirements and improve the region's TAM practices, MTC will:

- Work with FTA to ensure that RTCI data can be used to help meet TAM requirements;

- Propose revisions to this policy needed to meet the requirements of FTA's final TAM rule; and

- Work with the operators to evaluate TAM systems and consider joint procurement of such systems to reduce costs, facilitate data interchange with RTCI and NTD, and comply with the new TAM requirements. Operators that already developed TAM systems will not be required to participate in joint procurements of TAM systems.

III. CYCLE 2 STP/CMAQ TRANSIT CAPITAL REHABILITATION PROGRAM

The Commission's Cycle 2 Program Project Selection Criteria and Programming Policy For FY2012-13, FY2013-14, FY2014-15 and FY 2015-16, MTC Resolution No. 4035, Revised, includes $150 million in STP/CMAQ funding for a Transit Capital Rehabilitation Program. These funds will be programmed to Transit Performance Initiative projects and to transit capital rehabilitation projects. Specific projects are included in Attachment B to MTC Resolution No. 4035, Revised.

Transit Performance Initiative

This program includes investment and performance incentive elements. The investment element implements transit supportive investments in major transit corridors that can be carried out within two years. The focus is on making cost-effective operational improvements on significant trunk lines which carry the largest number of passengers in the Bay Area including transit signal prioritization, passenger circulation improvements at major hubs, and boarding/stop improvements. For FY2012-13 through FY2015-16, $13 million annually is available for this program.

The incentive program provides financial rewards to transit agencies that improve ridership and/or productivity. For FvY2012-13, $15 million is distributed based on each operator's share of ridership based on final audited FY2010-11 ridership figures. For FY2013-14 through FY2015-16, $15 million is available annually based on the formula distribution described below. The program will be evaluated annually following each cycle.

Large and Small Operator Accounts: Of the annual $15 million available, 85% and 15% shall be assigned to the large and small operator accounts, respectively. The large operators include: AC Transit; BART, Caltrain, Golden Gate Transit, SFMTA, SamTrans, and Santa Clara VTA.

Large Operator Distribution Formula: Funds shall be distributed to large operators as follows:

- 20% based on Passenger Increase (absolute)
- 10% based on Passenger Per Hour Increase (absolute)
- 70% based on Annual Passengers

Small Operator Distribution Formula: Funds shall be distributed to small operators as follows:

- 25% based on Passenger Increase (absolute)
- 25% based on Passenger Per Hour Increase (absolute)
- 50% based on Annual Passengers

Data Source: Using the most recent National Transit Database data for all modes excluding Paratransit, the distribution formula shall be calculated annually using a three-year rolling average commencing with FY2009-10, 2010-11 and 2011-12 for the FY2013-14 distribution. For the FY2013-14 distribution, data for Marin County Transit District shall be included with Golden Gate Transit in the Large Operator Account. The funding, however, assigned to Golden Gate Transit based on the NTD data, will be further distributed to the two operators – Golden Gate Transit and Marin County Transit District – based on a mutually agreed split based on the relevant performance and ridership data.

Transit Capital Rehabilitation

Any Cycle 2 STP/CMAQ Transit Capital Rehabilitation Program funds not programmed for Transit Performance Initiative projects will be programmed for transit capital rehabilitation projects to supplement the Transit Capital Priorities program. Transit capital rehabilitation projects will be programmed using the same policies and procedures as used for the FTA formula funds, as specified in Section II. FTA Formula Funds. This includes a set-aside of $1 million to support the consolidation and transition of Vallejo and Benicia bus services to Soltrans.

APPENDIX 1 – BOARD RESOLUTION

Sample Resolution of Board Support
FTA Section 5307, 5309 Fixed Guideway (FG), 5337 and 5339 and Surface Transportation Program Project Application

Resolution No. _____

AUTHORIZING THE FILING OF AN APPLICATION FOR FTA FORMULA PROGRAM AND SURFACE TRANSPORTATION PROGRAMS FUNDING FOR (project name) AND COMMITTING THE NECESSARY LOCAL MATCH FOR THE PROJECT(S) AND STATING THE ASSURANCE OF (name of jurisdiction) TO COMPLETE THE PROJECT

WHEREAS, Moving Ahead for Progress in the 21st Century (MAP-21, Public Law Public Law 112-141) continues and establishes new Federal Transit Administration formula programs (23 U.S.C. §53) and continues the Surface Transportation Program (23 U.S.C. § 133); and

WHEREAS, pursuant to MAP-21, and the regulations promulgated there under, eligible project sponsors wishing to receive Federal Transit Administration (FTA) Section 5307, Section 5309 Fixed Guideway (FG), Section 5337 State of Good Repair, or Section 5339 Bus and Bus Facilities (collectively, FTA Formula Program) grants or Surface Transportation Program (STP) grants for a project shall submit an application first with the appropriate metropolitan transportation planning organization (MPO), for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

WHEREAS, the Metropolitan Transportation Commission is the MPO for the San Francisco Bay region; and

WHEREAS, (applicant) is an eligible project sponsor for FTA Formula Program or STP funds; and

WHEREAS, (applicant) wishes to submit a grant application to MTC for funds from the FY2012-13 or FY2013-14 FTA Formula Program or STP funds, for the following project(s):

(project description) .

WHEREAS, MTC requires, as part of the application, a resolution stating the following:

1) the commitment of necessary local matching funds of at least of 20% for FTA Formula Program funds, and 11.47% for STP funds; and
2) that the sponsor understands that the FTA Formula Program and STP funding is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded from FTA Formula Program or STP funds; and
3) the assurance of the sponsor to complete the project as described in the application, and if approved, as programmed in MTC's TIP; and
4) that the sponsor understands that FTA Formula Program funds must be obligated within three years of programming and STP funds must be obligated by September 30 of the year that the project is programmed for in the TIP, or the project may be removed from the program.

Resolved, that (agency name) is an eligible sponsor of projects in the program for FTA Formula Program and STP funds; and be it further

Resolved, that (agency name) is authorized to submit an application for FTA Formula Program and STP funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for FTA Formula Program and STP funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

NOW, THEREFORE, BE IT RESOLVED by (governing board name) that (applicant) is authorized to execute and file an application for funding under the FTA Formula Program and/or Surface Transportation Program in the amount of ($request) for (project description); and

BE IT FURTHER RESOLVED that (governing board) by adopting this resolution does hereby state that:

1) (applicant) will provide ($ match amount) in local matching funds; and

2) (applicant) understands that the FTA Formula Program and STP funding for the project is fixed at ($ actual amount), and that any cost increases must be funded by the (applicant) from local matching funds, and that (applicant) does not expect any cost increases to be funded with FTA Formula Program and Surface Transportation Program funds; and

3) (project name) will be built as described in this resolution and, if approved, for the amount shown in the Metropolitan Transportation Commission (MTC) Transportation Improvement Program (TIP) with obligation occurring within the timeframe established below; and

4) The program funds are expected to be obligated by September 30 of the year the project is programmed for in the TIP; and

BE IT FURTHER RESOLVED, that (agency name) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and

BE IT FURTHER RESOLVED that a copy of this resolution will be transmitted to the MTC prior to MTC programming the FTA Formula Program or Surface Transportation Program funded projects in the Transportation Improvement Program (TIP); and

BE IT FURTHER RESOLVED that the MTC is requested to support the application for the project described in the resolution and to program the project, if approved, in MTC's TIP.

APPENDIX 2 – OPINION OF COUNSEL

Sample Opinion of Legal Counsel
FTA Section 5307, FTA Section 5309 FG, and STP Project Application

(Date)

To: Metropolitan Transportation Commission
Fr: (Applicant)
Re: Eligibility for FTA Section 5307 Program, FTA 5309 Fixed Guideway (FG) Program, FTA 5337 State of Good Repair Program, FTA 5339 Bus and Bus Facilities Program, and Surface Transportation Program (STP)

This communication will serve as the requisite opinion of counsel in connection with the application of (Applicant) _____ for funding from the FTA Section 5307, 5309 FG, 5337 or 5339 programs, or STP, made available pursuant to the Moving Ahead for Progress in the 21st Century federal transportation authorization (MAP-21, Public Law Public Law 112-141).

1. (Applicant)_____ is an eligible sponsor of projects for the FTA Section 5307, 5309 FG, 5337 or 5339 programs, or the STP program.
2. (Applicant) _____ is authorized to submit an application for FTA Section 5307, 5309 FG, 5337 or 5339 funding, or STP funding for (project) _____ _____.
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) _____ making applications FTA Section 5307, 5309 FG, 5337 or 5339 program funds, or STP funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation which might in any way adversely affect the proposed projects, or the ability of (Applicant) _____ to carry out such projects.

Sincerely,

_____
Legal Counsel

_____
Print name

Optional Language to add to the Resolution for Local Support

Project sponsors have the option of consolidating the 'Opinion of Legal Counsel' within the Resolution of Local Support, by incorporating the following statements into the Resolution of Local Support:

Resolved, that (agency name) is an eligible sponsor of projects in the FTA Formula Program and STP Programs; and be it further

Resolved, that (agency name) is authorized to submit an application for FTA Formula Program and STP funds for (project name); and be it further

Resolved, that there is no legal impediment to (agency name) making applications for FTA Formula Program and STP funds; and be it further

Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

If the above language is not provided within the Resolution of Local Support, an Opinion of Legal Counsel is required as provided (Attachment 9, page 1).

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APPENDIX A – 15

Regional Policies: Project Funding

FTA Section 5311 Nonurbanized Area Formula Program
Funding Objectives and Criteria
for the San Francisco Bay Area

MTC Resolution No. 4036

Date: November 16, 2011
W.I.: 1512
Referred By: PAC
Revised: 10/23/13-C

ABSTRACT

Resolution No. 4036, Revised

This resolution adopts the Federal Transit Administration (FTA) Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area.

The resolution includes the following attachment:

Attachment A - FTA Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area

This resolution was revised on October 23, 2013 to update the Section 5311 formula with new population data from the 2010 Census and new transit route data from the 2012 Regional Transit Database (RTD), and to remove provisions related to the two-year transition period policy, which is no longer applicable now that the first two years of the formula-based policy are complete.

Further discussion of this action is contained in the MTC Programming and Allocations Committee Summary sheets dated November 9, 2011 and October 9, 2013.

Date: November 16, 2011
W.I.: 1512
Referred By: PAC

Re: Federal Transit Administration (FTA) Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4036

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code sections 66500 et. seq.; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, the U.S. Department of Transportation (DOT) has adopted rules and regulations (23 CFR 450 and CFR 613) which require that the MPO, in cooperation with the state and publicly-owned operators of mass transportation services, carry on a continuing, cooperative and comprehensive transportation planning process that results in plans and programs consistent with the comprehensively planned development of the urbanized area, as a condition to the receipt of federal capital or operating assistance; and

WHEREAS, Section 5311 Title 49 of the United States Code (formerly Section 18 of the Federal Transit Act (FTA) provides a formula grant program for public transportation projects in areas other than urbanized areas (49 U.S.C. Section 5311); and

WHEREAS, MTC has developed, in consultation with interested transportation providers, the FTA Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area, attached hereto as Attachment A, and incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the FTA Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area as provided in Attachment A; and be it further

RESOLVED, that MTC will use these funding objectives and criteria to program MTC's regional apportionment of FTA Section 5311 Nonurbanized Area Formula Program funds; and be it further

RESOLVED, that the Executive Director of MTC shall forward a copy of this Resolution, and such other information as may be required, to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by
the Metropolitan Transportation Commission
at a regular meeting of the Commission held in
Oakland, California, on November 16, 2011.

FTA Section 5311 Nonurbanized Area Formula Program
Funding Objectives and Criteria
for the San Francisco Bay Area
Metropolitan Transportation Commission

I. Funding Principles for the Section 5311 Program

The funding principles are intended to guide our funding decisions and establish the basis for developing the programming process. The funding principles for the Section 5311 program are as follows:

1. *Maintain existing needed transit services:* MTC dedicates capital and operating funds for essential projects and programs in an effort to maintain needed existing transit services.

2. *Provide a reliable, equitable and flexible program:* MTC will use a formula distribution system in an effort to provide a reliable and equitable level of funding to transit operators each year. Policy guidelines will accompany the formula in order to give operators flexibility in selecting projects that are consistent with regional priorities.

3. *Fund basic capital requirements:* MTC will require recipients to prioritize the replacement of capital equipment. If recipients request funds for operations, they will be required to submit documentation explaining why the funds are not needed for basic capital.

4. *Maintain a multi-year program of projects:* In order to foster planning it is important that MTC continue to program projects on a multi-year basis, within the constraints of available federal funding programs and subject to changes within those programs. Whenever possible, MTC will adopt a two-year program, with annual adjustments to constrain the program to the available revenues. Each year's program will only be added to the TIP when actual revenues are apportioned by Caltrans.

5. *Maintain Timely Use of Funds Policy:* The Caltrans policy requires that all FTA Section 5311 funds be obligated within two years of programming or the funds will be lost to the region. In order to avoid lost funds to the region, MTC reserves the right to only program funds to those agencies that have submitted their prior year's 5311 application and quarterly reports to Caltrans satisfactorily and in a timely manner.

II. Funding Formula, Policy Guidelines and Screening Criteria

A. Funding Formula

Funds will be distributed to transit operators according to each operator's nonurbanized area population and nonurbanized area route miles. The formula will distribute half of the funds according to the nonurbanized area population served (i.e., according to the number of nonurbanized area residents that live within three-quarters of a mile of the operators' transit stops) and the other half of the funds according to the number of route miles provided in the nonurbanized area. The table below shows the formula distribution. Population data for the proposed formula is based on the 2010 Census, and transit route data is taken from the 2012 Regional Transit Database (RTD).

FTA Section 5311 Formula Distribution

Transit Operator	Non UA Population (2010) within 3/4-mile of transit stops		Non UA Route Miles[2]		Combined Population and Route Miles Percentage
	Population	Percentage	Miles	Percentage	
AC Transit	8,272	4%	33	2%	3%
CCCTA	11,311	5%	8	0%	3%
LAVTA	6,845	3%	29	2%	2%
Marin Transit[1]	16,993	8%	283	17%	12%
NCTPA	26,713	12%	199	12%	12%
SamTrans	21,741	10%	130	8%	9%
Santa Clara VTA	8,061	4%	94	6%	5%
Solano Transportation Authority[2]	41,935	19%	437	26%	23%
Sonoma County Transit	63,645	29%	435	26%	28%
TriDelta Transit	13,298	6%	29	2%	4%
Total	**218,814**	**100%**	**1,678**	**100%**	**100%**

[1] The Marin Transit amount is the sum of the Marin Transit (Local Service) and West Marin Stagecoach amounts. Marin Transit will determine which service will use the 5311 funds.

[2] The Solano Transportation Authority (STA) amount is the sum of the Dixon, Fairfield and Suisun Transit, Rio Vista Delta Breeze, SolTrans, and Vacaville amounts. STA will work with these operators to determine individual shares.

B. Policy Guidelines

The following policies will accompany the formula system:

1. *Capital Priority.* Recipients will be required to prioritize the replacement of capital equipment, with top priority for capital assets needed to maintain needed existing transit services. If recipients request funds for operations, they will be required to submit documentation explaining why the funds are not needed to maintain or replace capital equipment. Furthermore, if recipients request funds for operations expansions, they will be required to submit documentation explaining why the funds are not needed to maintain existing transit operations.

2. *Project Justification Sheets.* MTC will program funds only to those operators who submit Section 5311 project justification sheets during the Call for Projects. The Section 5311 project justification sheets will contain basic project information, including project title, brief project description, project type, contact information, total project cost, local match amount and funding source, prior programming information (if the project is already included in the TIP), screening criteria, and, for operations requests, an explanation of why the funds are not needed for basic capital. If an operator does not want to participate in the 5311 program (e.g., if the operator's 5311 share is so small that the administrative effort required to apply for and report on the funds outweighs the benefits to the operator), then they will not submit Section 5311 project justification sheets, and MTC will not program any funds to that operator.

C. Project Screening Criteria

The project screening criteria are intended to eliminate projects that do not meet minimum program standards. MTC will review each applicant's Project Justification Sheets to ensure that each project proposed for the Section 5311 program of projects meets the following criteria:

1. *Availability to the general public.* Section 5311- funded services may be designed to maximize use by members of the general public who are transportation disadvantaged persons, including elderly and disabled persons, however such services should be open to the general public, or part of an array of public transit services, such as ADA complementary services.

2. *Identified local match.* The applicant must identify a funding source for the minimum required local match. The minimum local match is 44.67% for operations projects, and 11.47% for capital projects.

3. *Identified and documented need for a project.* The need for a particular project must be adequately documented and justified on the Section 5311 project justification sheets (e.g., if an operator is requesting funds to replace a vehicle, the existing vehicle to be replaced must meet the asset replacement age). If the applicant prepares a Short Range Transit Plan (SRTP), the project should be identified and justified in the plan.

4. *Project readiness.* The applicant must be prepared to submit an application for the project and be ready to implement/construct the project in the year indicated in the program of projects. If funds for a project are not applied for in the year they are programmed, future programming of federal funds for that project and applicant could be jeopardized.

5. *Consistency with Regional Transportation Plan (RTP).* The applicant must confirm that the project is consistent with the region's Long Range Plan in effect at the time of the application.

III. Fund Programming and Project Review Process

The steps in developing the region's Section 5311 program of projects are outlined as follows.

MTC will issue a Call for Projects every two years, and will adopt a two-year program. MTC will make annual adjustments to constrain the program to the available revenues. Each year's program will only be added to the TIP when actual revenues are apportioned by Caltrans.

A. Call for Projects Year (first year of two-year program)

- MTC receives estimate of available Section 5311 funding for the first program year from Caltrans. MTC will estimate the amount of Section 5311 funding available for the second program year.

- MTC uses the funding formula to estimate the amount of Section 5311 funds available to each transit operator, based on the assumption that all eligible operators will submit proposed projects.

- MTC notifies all potential Section 5311 applicants of the amount of Section 5311 funds available, including fund estimates by transit operator, and requests that projects be proposed (in project justification sheets) for the program of projects.

- For each proposed project, applicants complete and submit Section 5311 Project Justification Sheets to MTC.

- MTC staff reviews proposed projects and develops a preliminary program of projects. If there are remaining Section 5311 funds (i.e., if some eligible operators did not submit Project Justification Sheets), MTC will use the funding formula to distribute the remaining balance to the operators that proposed projects. MTC will confer with applicants to finalize the program of projects.

- The program of projects is presented to and considered by MTC's Programming and Allocations Committee.

- If approved by the Committee, the program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.

- When actual revenues are apportioned by Caltrans, MTC will make adjustments (if needed) to constrain the program to the available revenues and add the first year projects to the Transportation Improvement Program (TIP)

B. Adjustment year (second year of two-year program)

- MTC receives estimate of available Section 5311 funding for the second program year from Caltrans.
- MTC will make adjustments (if needed) to constrain the program to the available revenues. Staff will confer with operators if adjustments are needed.
- If there are changes to a project in the current program (e.g., scope of project, costs, etc.), a revised project justification sheet should be completed and sent to MTC.
- The revised program of projects is presented to and considered by MTC's Programming and Allocations Committee.
- The revised program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.
- MTC will add the second year projects to the Transportation Improvement Program (TIP).

In any year, operators are responsible for submitting their own applications to Caltrans. MTC will assist with the Regional Agency/Transportation Planning Agency (TPA) Certifications and Assurances as needed.

APPENDIX A – 16

Regional Policies: Project Funding

**MTC's Job Access and Reverse Commute (JARC)
and New Freedom Program Management Plan
for the Large Urbanized Areas
of the San Francisco Bay Area**

MTC Resolution No. 3986

Date: December 15, 2010
W.I.: 1512
Referred By: PAC
Revised: 12/19/12-C

ABSTRACT

Resolution No. 3986, Revised

This resolution adopts the Metropolitan Transportation Commission's Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan for the large urbanized areas of the San Francisco Bay Area.

The following attachment is provided with the resolution:

Attachment A Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan

This resolution was amended on December 19, 2012 to incorporate changes from the Federal Transit Administration's (FTA's) revised Title VI Circular (FTA Circular 4702.1B).

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheets dated December 8, 2010, and December 12, 2012.

Date: December 15, 2010
W.I.: 1512
Referred By: PAC

Re: Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan

METROPOLITAN TRANSPORTATION COMMISSION
Resolution No. 3986

WHEREAS, Title 49 United States Code (U.S.C.) Section 5316 (49 U.S.C. 5316) authorizes and sets forth the provisions for the Job Access and Reverse Commute Program, which makes grants to recipients for access to jobs and reverse commute projects; and

WHEREAS, Title 49 U.S.C. Section 5317 (49 U.S.C. 5317) authorizes and sets forth the provisions for the New Freedom Program, which makes grants to recipients for addressing the transportation needs of disabled persons through the provision of new services and facility improvements that go beyond those required by the Americans with Disabilities Act; and

WHEREAS, 49 U.S.C. §5316(c) apportions Job Access and Reverse Commute funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, 49 U.S.C. §5317(c) apportions New Freedom funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC is also the federally designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, consistent with 49 U.S.C. §5307(a)(2), MTC is the designated recipient of the Federal Transit Administration's (FTA's) Job Access Reverse Commute and New Freedom funding apportionments for large urbanized areas in the nine-county San Francisco Bay Area; and

WHEREAS, the Federal Transit Administration (FTA) has published FTA Circular 9050.1 entitled "The Job Access and Reverse Commute (JARC) Program Guidance and

Application Instructions," dated May 1, 2007, which issues guidance on the administration of the JARC Program under 49 U.S.C. 5316; and

WHEREAS, the Federal Transit Administration (FTA) has published FTA Circular 9045.1 entitled "New Freedom Program Guidance and Application Instructions," dated May 1, 2007, which issues guidance on the administration of the New Freedom Program under 49 U.S.C. 5317; and

WHEREAS, FTA Circulars 9045.1 and 9050.1 require designated recipients to describe their policies and procedures for administering FTA's JARC and New Freedom programs in a Program Management Plan (PMP); now, therefore, be it

RESOLVED, that MTC hereby adopts the Job Access and Reverse Commute and New Freedom Program Management Plan, consistent with the requirements of FTA Circulars 9045.1 and 9050.1, attached hereto and incorporated herein as Attachment A; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to make minor changes to Attachment A of this resolution as may be necessary from time to time, with appropriate notification to stakeholders; and, be it further

RESOLVED, that the Executive Director or designee shall forward a copy of this resolution and such other information as may be required to the Federal Transit Administration and to other such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of this Commission held in Oakland, California, December 15, 2010.

Date: December 15, 2010
W.I.: 1512
Referred By: PAC
Revised: 12/19/12-C

Attachment A
Resolution No. 3986
Page 1 of 16

METROPOLITAN
TRANSPORTATION
COMMISSION

PROGRAM MANAGEMENT PLAN

Federal Transit Administration
Section 5316 Job Access and Reverse Commute and
Section 5317 New Freedom Programs

December 2012

PROGRAM MANAGEMENT PLAN

Federal Transit Administration
Section 5316 Job Access and Reverse Commute and
Section 5317 New Freedom Programs

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This Program Management Plan (PMP) describes the Metropolitan Transportation Commission's policies and procedures for administering the Federal Transit Administration's (FTA's) Section 5316 Job Access and Reverse Commute (JARC) and Section 5317 New Freedom (NF) Programs in accordance with requirements in FTA Circulars C 9050.1 and 9045.1, both dated May 1, 2007.

I. GENERAL

The Metropolitan Transportation Commission (MTC) is the federally-designated Metropolitan Planning Organization (MPO) and state-designated Regional Transportation Planning Agency (RTPA) for the San Francisco Bay Area, including the counties of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma. Created by the state Legislature in 1970 (California Government Code § 66500 et seq.), MTC is the transportation planning, coordinating and financing agency for the nine-county region. MTC's work is guided by a 19-member policy board: fourteen commissioners appointed directly by local elected officials; two members representing regional agencies — the Association of Bay Area Governments and the Bay Conservation and Development Commission; and three nonvoting members representing federal and state transportation agencies and the federal housing department.

The Governor of California designated MTC to be the recipient of JARC and New Freedom funds apportioned to the Bay Area's urbanized areas over 200,000 in population, referred to as the Antioch, Concord, San Francisco-Oakland, San Jose, and Santa Rosa large urbanized areas. Transit services in the over 7,000-square mile region are provided by over two dozen transit operators.

The stakeholders listed in Section IV have been provided with an opportunity to review and comment on this PMP, as required in the FTA Circulars.

II. PURPOSE OF PMP

This PMP is intended to fulfill several functions:

1. Serve as the basis for FTA to perform management reviews of MTC's administration of the program;
2. Provide public information on MTC's administration of the program; and,
3. Provide program guidance to local project applicants.

III. PROGRAM GOALS AND OBJECTIVES

JARC: FTA's goal for the JARC program is to improve access to transportation services to employment and employment-related activities for welfare recipients and eligible low-income individuals, and to transport residents of urbanized areas and nonurbanized areas, regardless of income level, to suburban employment opportunities. FTA's objectives are:

a. To increase the number of jobs that can be accessed as a result of geographic or temporal coverage; and,
b. To increase the number of rides provided.

New Freedom: FTA's goal for the New Freedom program is to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements for the Americans with Disabilities Act of 1990. FTA's objectives are:

a. To increase or enhance geographic coverage, service quality and/or service times that impact availability of transportation services for individuals with disabilities;
b. To add or change environmental infrastructure (e.g. transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services; and
c. To increase the number of rides provided for individuals with disabilities.

MTC's Program: MTC aims to fulfill the following objectives through its administration of the JARC and New Freedom Programs:

a. To advance the recommendations in the Bay Area's Coordinated Public Transit-Human Services Transportation Plan (Coordinated Plan), including implementing the priority solutions to the identified transportation gaps and the strategies to enhance service delivery for the transportation-disadvantaged population in the region;
b. To encourage high levels of program participation in the Bay Area by conducting outreach, and coordinating MTC's efforts with Caltrans' efforts for the small urbanized and rural areas; and,
c. To administer the JARC program as an integral part of MTC's larger Lifeline Transportation Program, which is a funding program intended to improve the mobility options of the region's low-income population.

IV. ROLES AND RESPONSIBILITIES

MTC: As the designated recipient of JARC and New Freedom funds for the Bay Area's large urbanized areas, MTC has the principal authority and responsibility for administering the programs. MTC's responsibilities include:

a. Notifying eligible local entities of funding availability;
b. Developing project selection criteria;
c. Determining applicant eligibility (in consultation with FTA when needed);
d. Conducting the competitive selection process to determine which projects should receive funding (in conjunction with the County Lifeline Program Administrators for the JARC/Lifeline program);
e. Seeking Commission approval for the programs of projects;
f. Amending approved projects into the Transportation Improvement Program (TIP);
g. Forwarding a program of projects to FTA;
h. Documenting procedures in this PMP;
i. Certifying that grants are distributed on a fair and equitable basis; and,
j. Certifying that all projects are derived from the Bay Area's Coordinated Plan.

Transit operators who are FTA grantees must serve as direct recipients and submit their own JARC and New Freedom grants, if they are selected through the competitive process for the Lifeline and New Freedom Programs. MTC will serve as the direct recipient for non-FTA grantee

transit operators or public entities, and for non-profits, that are competitively selected for the JARC and New Freedom programs.

In the role of a direct recipient (for non-FTA grantee transit operators or public entities, and for non-profits only), MTC's responsibilities also include:

a. Forwarding a grant application to FTA;
b. Entering into funding agreements with subrecipients; and
c. Monitoring subrecipient compliance with Federal requirements, through inclusion of such requirements in subrecipient agreements and through ongoing monitoring activities. (See Section XVI on Designated Recipient Program Management.)

Recipients/subrecipients: JARC and New Freedom recipients/subrecipients' responsibilities include:

a. For direct recipients (transit operators who are FTA grantees), submitting a grant application to FTA and carrying out the terms of that grant;
b. Meeting program requirements and grant/funding agreement requirements including, but not limited to, Title VI reporting requirements;
c. Making best efforts to execute selected projects; and
d. Complying with other applicable local, state, and federal requirements.

Caltrans: The California Department of Transportation (Caltrans) is the designated recipient of JARC and New Freedom funds for the State's small urbanized and rural areas. In the Bay Area, there are seven small urbanized areas: Fairfield, Gilroy-Morgan Hill, Livermore, Napa, Petaluma, Vacaville, and Vallejo. Caltrans is responsible for administration of JARC and New Freedom funds for the small and non-urbanized areas listed above.

CMAs: For JARC, MTC delegates prioritization of project applications to the Congestion Management Agencies (CMAs) of each county. MTC approves Lifeline guidelines for each funding cycle that may spell out more specific instructions for conducting calls for projects. See Section VIII on Project Selection Criteria and Method of Distributing Funds.

Other/Advisory Groups: The following groups also advise MTC's administration of the programs:

- Policy Advisory Council – A 27-member panel with membership structured around interests related to the economy, the environment and social equity. In the areas of economy and the environment, there are a total of nine members, with four members representing economic interests and four bringing an environmental perspective; the ninth member is representative of either category. In the area of social equity, nine members (one from each county) represent communities of color and issues affecting low-income communities or environmental justice. Of these, four members represent communities of color and four members represent environmental justice/low-income issues; the ninth member is representative of either category. In addition, nine members (one from each county) represent issues related to transportation for seniors and persons with disabilities. Four members represent seniors and four members represent people with disabilities; the ninth member is representative of either category

- Bay Area Partnership - The Bay Area Partnership Board consists of the top managers of public agencies responsible for moving people and goods in the Bay Area, as well as protecting the region's environmental quality. The Partnership collaboratively assists the Commission in fashioning consensus among its federal, state, regional and local transportation agency partners regarding the policies, plans and programs to be adopted and implemented by the Commission.

  The Partnership may establish committees to assist in its business. The committee and working group that currently address funding topics including JARC and New Freedom are the Partnership Technical Advisory Committee and the Transit Finance Working Group.

- Accessibility Committee, formerly the Partnership Transit Coordinating Council – A group of representatives from 21 Bay Area transit operators who meet and confer about paratransit policies and procedures in the region (generally staff works with this committee on New Freedom only).

In general, MTC staff consults with these groups in the development of program guidelines and programs of projects.

V. COORDINATION

From the programming process perspective, the level of coordination in the Bay Area is enhanced by virtue of MTC being the designated recipient for the five large urbanized areas. MTC also makes every effort to coordinate the programming efforts for the large urbanized areas with Caltrans' efforts for small urbanized area programming. MTC has also dedicated staff to manage the programming of JARC, New Freedom, and the related Elderly and Disabled Specialized Transit Program (also known as the 5310 Program) in the region. These staff serve several functions that enhance coordination: day-to-day points of contact for other stakeholders in the region; reporting to MTC's advisory groups; and also providing feedback to other staff on related aspects of MTC's legislative program.

From the programming priorities perspective, MTC, through the Bay Area's Coordinated Public Transit Human Services Transportation Plan (Coordinated Plan), strongly encourages the following strategies that enhance service delivery for the transportation-disadvantaged population: enhancing land use and transportation coordination; promoting enhanced pedestrian access to public transit and other modes of travel; promoting coordinated advocacy and improving efforts to coordinate funding with human service agencies; improving interjurisdictional and intermodal travel; and developing and implementing mobility management approaches.

VI. ELIGIBLE RECIPIENTS/SUBRECIPIENTS

MTC designates the same eligible recipients/subrecipients for the JARC and New Freedom programs as allowed by Federal guidelines:

a. Private non-profit organizations;
b. State or local governmental authority; and
c. Operators of public transportation services, including private operators of public transportation services.

VII. LOCAL SHARE AND LOCAL FUNDING REQUIREMENTS

MTC generally requires the same local match for the JARC and New Freedom programs as required by Federal guidelines: minimum of 20 percent of the project cost for eligible capital projects, and minimum of 50 percent for eligible operational projects. MTC will indicate any deviations from this match requirement at the time of each funding cycle, and will document the match requirements in the program guidelines.

VIII. PROJECT SELECTION CRITERIA & METHOD OF DISTRIBUTING FUNDS

MTC develops program guidelines with each call for projects. For JARC, the program guidelines are part of MTC's larger Lifeline Transportation Program. Developing new guidelines with each solicitation provides MTC with the flexibility to designate regional priorities as needed and to incorporate refinements based on lessons learned from prior funding cycles. The guidelines include relevant excerpts from the program circulars and additional information that is particular to the Bay Area, and they are prepared with the goals of providing sufficient information for prospective applicants to determine whether they should apply for funds and making transparent the competitive selection process. In general, staff will provide the various advisory groups an opportunity to comment on the draft program guidelines prior to seeking formal approval of those guidelines. The frequency of competition is determined by MTC, and does not cover more than three years of funding. MTC publicly advertises the availability of funds and selection criteria in formats and forums appropriate to the potential recipients/subrecipients. Applicants are required to fill out a standardized application form to facilitate the evaluation process. The application forms are prepared in accordance with the guidelines.

In connection with MTC's Title VI monitoring obligations, as outlined in FTA Circular 4702.1B, Title VI Requirements and Guidelines for Federal Transit Administration Recipients, ("Title VI Circular"), issued on October 1, 2012 applicants will be required to provide the following information:

- The organization's policy regarding Civil Rights (based on Title VI of the Civil Rights Act) and for ensuring that benefits of the project are distributed equitably among minority population groups in the project's service area.

- Information on whether the project will provide assistance to predominantly minority populations. (Projects are classified as providing service to predominantly minority

populations if the proportion of minority persons residing in the project's geographic service area exceeds the average proportion of minority persons in the region.)

In order to document that JARC and New Freedom funds are passed through without regard to race, color or national origin, and to document that minority populations are not being denied the benefits of or excluded from participation in the JARC and New Freedom programs, MTC will prepare and maintain the following information, as required by the Title VI Circular, Chapter VI(6):

a. A record of funding requests received from private non-profit organizations, State or local governmental authorities, and Indian tribes. MTC's records will identify those applicants that would use grant program funds to provide assistance to predominantly minority populations and indicate whether those applicants were accepted or rejected for funding.

b. A description of how MTC develops its competitive selection process or annual program of projects submitted to FTA as part of its grant applications. The description will emphasize the method used to ensure the equitable distribution of funds to subrecipients that serve predominantly minority populations, including Native American tribes, where present.

c. A description of MTC's criteria for selecting entities to participate in an FTA grant program.

JARC: MTC established regional evaluation criteria for all Lifeline Transportation Program projects, including project need/stated goals and objectives; implementation plan; project budget/sustainability; coordination and program outreach; and cost-effectiveness and performance indicators. The competitive selection process is conducted on a county-wide basis by designated Lifeline Program Administrators (LPAs), which are the Congestion Management Agencies (CMAs) for all counties, except in Santa Clara County where the program is administered jointly by the CMA and the County. The LPAs are allowed to establish the weight to be assigned to each criterion, and to add additional criteria as they see fit with MTC's review. Each LPA appoints a local review team of CMA staff, as well as representatives of local stakeholders, such as local jurisdictions, transit operators or other transportation providers, community-based organizations, social service agencies, and members of MTC's Policy Advisory Council, to score and select projects. Each LPA assigns local priorities for project selection and is required by MTC to maintain a transparent process.

In funding projects, preference is given to strategies emerging from local Community-Based Transportation Planning (CBTP) processes, countywide regional welfare-to-work transportation plans or other documented assessment of need within the designated communities of concern. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable.

In addition, MTC will certify that projects have been derived from the Bay Area's Coordinated Plan. While federal requirements prohibit the sub-allocation or distribution of JARC funds in any

way other than through a competitive process, MTC provides each County CMA with a target programming amount that is based upon the County's proportion of the region's poverty population.

New Freedom: MTC conducts the competitive selection process, and certifies that projects have been derived from the Bay Area's Coordinated Plan. The project selection criteria include need and benefits; coordination, partnership, and outreach; and project readiness. Applicants are informed that they are eligible to apply for funds in the large urbanized area(s) (UAs) in which their projects will provide services. An evaluation panel consisting of MTC staff and representatives of the interests of the region's disabled population evaluate and score the applications.

IX. PROGRAM OF PROJECTS DEVELOPMENT AND APPROVAL PROCESS

MTC staff strive to provide sufficient time for prospective applicants to develop their project ideas and prepare their project applications; for evaluation panels to review and score project applications and develop the proposed program of projects; for staff to discuss with the various relevant working groups the results of the evaluation process and present the proposed program of projects; and for staff to present the proposed program of projects for approval by MTC's Programming and Allocation Committee and subsequent adoption by the MTC. In total, the process is expected to take about four to six months from the time the call for projects is issued to MTC's adoption of the program of projects. The detailed timeline for each call for projects is issued along with the program guidelines. The adopted program of projects is made available to the public on MTC's web site.

X. ADMINISTRATION, PLANNING, AND TECHNICAL ASSISTANCE

The FTA JARC Circular (FTA Circular 9050.1) and the FTA New Freedom Circular (FTA Circular 9045.1) allow MTC to use up to 10 percent of the total fiscal year JARC and New Freedom apportionments to fund program administration costs including administration, planning and technical assistance. MTC will indicate any JARC and New Freedom funds proposed for program administration at the time of each funding cycle, and will document the amount, if any, in the program guidelines.

Information about the JARC and New Freedom programs is provided on MTC's web site. MTC staff are also available by telephone or e-mail to provide technical assistance throughout the program process. During project solicitation, workshops are offered for prospective applicants. After projects have been selected, recipients/subrecipients are informed of necessary steps in order to obtain the grant award.

XI. TRANSFER OF FUNDS

MTC does not transfer any JARC or New Freedom program funds to Section 5311 or 5307 programs.

XII. PRIVATE SECTOR PARTICIPATION

MTC conducts public outreach to potential private sector program participants using several avenues: agencies may request to be included in MTC's mailing list for funding notices; MTC sends out funding notices to various stakeholder groups; and MTC makes announcements at various meetings of the groups described under Section IV. The stakeholder groups to whom funding notices are sent include private non-profit organizations that participated in the preparation of the Coordinated Plan, as well as the County Paratransit Coordinating Councils, which have contacts with private transportation providers like taxi companies.

XIII. CIVIL RIGHTS

MTC complies with all provisions prohibiting discrimination on the basis of race, color, or national origin on Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. §§ 2000d *et seq.*);, U.S. D.O.T. regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act", (49 C.F.R. Part 21) and the Title VI Circular.

The Title VI Circular (4220.1B) and its predecessor (4220.1A) require the submission of a Title VI Program to FTA and Caltrans. MTC's last Title VI Program under Circular 4702.1A was filed in November 2010. MTC's first Title VI Program under the current Title VI Circular (4702.1B) will be due and filed in October 2014.

MTC specifically requires in all third party contracts and funding agreements that the subrecipient/contractor at any tier complies with all requirements of Title VI. Failure to do so is considered to be a breach of contract.

Furthermore, MTC complies with all applicable equal employment opportunity (EEO) provisions of 49 U.S.C. §§ 2000e, and implementing federal regulations and any subsequent amendments thereto. MTC ensures that applicants and employees of MTC are treated fairly without regard to their race, color, creed, sex, disability, age, or national origin. MTC specifically requires in all its third party contracts and funding agreements that the contractor/subrecipient agree to comply with all applicable EEO requirements of Title VI and states that failure to do so is considered a breach of contract. MTC will also investigate any complaints received alleging breach of the requirements of Title VI.

Lastly, MTC does not discriminate on the basis of race, color, sex, or national origin in the award and performance of any federally assisted third party contract or funding agreement in the administration of its DBE Program and complies with the requirements of 49 C.F.R. Part 26. It will take all necessary and reasonable steps set forth in 49 C.F.R. Part 26 to ensure nondiscrimination in the award and administration of all third party contracts and funding agreements. On June 2, 2009, MTC executed a DBE Implementation Agreement with Caltrans to establish race conscious means or contract goals for meeting the overall statewide annual DBE goal. As required by 49 C.F.R. Part 26 and approved by U.S. D.O.T., MTC's DBE Program is incorporated into and made part of its third party contracts and agreements. MTC specifically states in its third party contracts and funding agreements that breach of the MTC DBE Program

and/or failure by the contractor/subrecipient to honor all commitments made to DBEs at the time of award will be considered a breach of contract. Further, MTC requires subrecipients that are not FTA grantees to submit in their invoices and on an annual basis actual DBE participation.

XIV. SECTION 504 AND ADA REPORTING

MTC agrees to comply with the requirements of 49 U.S.C. 5301 (d), which states the federal policy that elderly individuals and individuals with disabilities have the same right as other individuals to use public transportation services and facilities, and that special efforts will be made in planning and designing those services and facilities to implement transportation accessibility rights for elderly individuals and individuals with disabilities. MTC also agrees to comply with all applicable provisions of Section 504 of the Rehabilitation Act of 1973, as amended, with 29 U.S.C. 794 which prohibits discrimination on the basis of disability and with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. 12101 et seq., which requires that accessible facilities and services be made available to individuals with disabilities, and any subsequent amendments to these laws. Finally, MTC agrees to comply with applicable implementing federal regulations and directives and any subsequent amendments thereto.

MTC specifically requires in all third party contracts and funding agreements that the subrecipient/contractor at any tier complies with the applicable provisions of the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as applicable regulations and guidelines issued pursuant to the ADA (42 U.S.C. 12101 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794; Section 16 of the Federal Transit Act, as amended, 49 U.S.C. § 5310(f); and their implementing regulations.

XV. PROGRAM MEASURES

The reporting and data collection measures of the JARC and New Freedom Programs are/will be specified in the funding agreements with the subrecipients. The following data are required at a minimum, consistent with FTA's reporting requirements for each program:

JARC:

- Actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC projects implemented in the current reporting year.
- Actual or estimated number of rides (as measured by one-way trips) provided as a result of the JARC projects implemented in the current reporting year.

New Freedom:

- Services provided that impact availability of transportation services for individuals with disabilities as a result of the New Freedom projects implemented in the current reporting year. Examples include geographic coverage, service quality, and/or service times.
- Additions or changes to environmental infrastructure (e.g., transportation facilities, sidewalks), technology, vehicles that impact availability of transportation services as a result of New Freedom projects implemented in the current reporting year.

- Actual or estimated number of rides (as measured by one-way trips) provided for individuals with disabilities as a result of New Freedom projects implemented in the current reporting year.

XVI. DESIGNATED RECIPIENT PROGRAM MANAGEMENT

The following section applies only to grants that MTC will administer on behalf of subrecipients for the JARC and New Freedom programs. When FTA grantees become direct recipients of JARC and New Freedom funds, they will sign a supplemental agreement found in TEAM, and MTC is released from any liability pertaining to the direct recipient grant. The direct recipient is then responsible for adhering to FTA requirements through their agreements and grants with FTA directly. MTC reserves the right to reprogram funds if direct recipients fail to obligate the JARC and New Freedom funds through grant submittal and FTA approval within 12 months of program approval.

Title VI: MTC requires that all JARC and New Freedom subrecipients submit all appropriate FTA certifications and assurances to MTC prior to funding agreement execution and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC will not execute any funding agreements prior to having received these items from the selected subrecipients. MTC, within its administration, planning, and technical assistance capacity, also will comply with all appropriate certifications and assurances for FTA assistance programs and will submit this information to the FTA as required.

The certifications and assurances pertaining to civil rights include:

1. Nondiscrimination Assurances in Accordance with the Civil Rights Act
2. Documentation Pertaining to Civil Rights Lawsuits and Complaints

Nondiscrimination assurances included above involve the prohibition of discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibit discrimination in employment or business opportunity, as specified by 49 U.S.C. 5332 (otherwise known as Title VI of the Civil Rights Act of 1964), as amended (42 U.S.C. 2000d et seq.) and U.S. DOT regulations, *Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act*, 49 C.F.R. Part 21. By complying with the Civil Rights Act, no person, on the basis of race, color, national origin, creed, sex, or age, will be excluded from participation in, be denied the benefits of any program for which the subrecipient receives federal funding via MTC.

As a condition of receiving Federal Transit Administration JARC or New Freedom program funds, subrecipients must comply with the requirements of the US Department of Transportation's Title VI regulations. The purpose of Title VI is to ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Subrecipients are also responsible for ensuring compliance of each of their subrecipients (if any), including collecting Title VI Programs, and for

ensuring that their third-party contractors are complying with Title VI and the subrecipient's Title VI Program. (See FTA C 4702.1B Chapter II (6) and Appendix L, Scenario Three.)

Title VI Programs

All JARC and NF subrecipients must submit Title VI Programs to MTC. Title VI Programs will be required with the submission of the standard agreement and annually thereafter with the submission of the annual FTA certifications and assurances.

Every Title VI Program shall include the following information (Note: detailed instructions on the following Title VI requirements are available in FTA C 4702.1B, Chapter III-2 through III-12):

(1) A copy of the subrecipient's Title VI notice to the public that indicates the subrecipient complies with Title VI, and informs members of the public of the protections against discrimination afforded to them by Title VI. Include a list of locations where the notice is posted. A sample Title VI notice is in FTA C 4702.1B, Appendix B. Subrecipients may choose to adopt MTC's notice to beneficiaries where appropriate.

(2) A copy of the subrecipient's instructions to the public regarding how to file a Title VI discrimination complaint, including a copy of the complaint form. Sample complaint procedures are in FTA C 4702.1B, Appendix C, and a sample Title VI complaint form is in FTA C 4702.1B, Appendix D. Subrecipients may choose to adopt MTC's complaint procedures and complaint form where appropriate.

(3) A list of any public transportation-related Title VI investigations, complaints, or lawsuits filed with the subrecipient since the time of the last submission. See FTA C 4702.1B, Appendix E for an example of how to report this information. This list should include only those investigations, complaints, or lawsuits that pertain to allegations of discrimination on the basis of race, color, and/or national origin in transit-related activities and programs and that pertain to the subrecipient submitting the report, not necessarily the larger agency or department of which the subrecipient is a part.

(4) A public participation plan that includes an outreach plan to engage minority and limited English proficient populations, as well as a summary of outreach efforts made since the last Title VI Program submission. A subrecipient's targeted public participation plan for minority populations may be part of efforts that extend more broadly to include other constituencies that are traditionally underserved, such as people with disabilities, low-income populations, and others. Subrecipients may choose to adopt MTC's public participation plan where appropriate.

(5) A copy of the subrecipient's plan for providing language assistance to persons with limited English proficiency, based on the DOT LEP Guidance. Subrecipients may choose to adopt MTC's language assistance plan where appropriate. Operational differences between MTC and the subrecipient may require, in some instances, that the subrecipient tailor its language assistance plan.

(6) Subrecipients that have transit-related, non-elected planning boards, advisory councils or committees, or similar bodies, the membership of which is selected by the subrecipient, must provide a table depicting the racial breakdown of the membership of those committees, and a description of efforts made to encourage the participation of minorities on such committees or councils.

(7) Those subrecipients who are also primary recipients (i.e., those who have their own subrecipients) shall include a narrative or description of efforts the primary recipient uses to ensure subrecipients are complying with Title VI, as well as a schedule of subrecipient Title VI program submissions.

(8) If the subrecipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc., the subrecipient shall include a copy of the Title VI equity analysis conducted during the planning stage with regard to the location of the facility.

(9) Additional information as specified in FTA C 4702.1B chapters IV, V, and VI, depending on whether the subrecipient is a fixed route transit provider, a State, or an MPO.

The Title VI Program must be approved by the subrecipient's board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to MTC. Subrecipients shall submit a copy of the board resolution, meeting minutes, or similar documentation with the Title VI Program as evidence that the board of directors or appropriate governing entity or official(s) has approved the Title VI Program.

Procurement: Each subrecipient is required to conduct procurement activities in accordance with their own procurement procedures that should reflect applicable State and local laws, provided that it conforms to federal requirements at 49 CFR Part 18 and guidance contained in FTA Circular 4220.1F. Certification of compliance will be made a part of the subrecipient's application and its contract with MTC.

Property Management and Vehicle Use, Maintenance, and Disposition: Real property requirements do not apply to either JARC or New Freedom. MTC complies with all applicable requirements in the FTA Grant Management Guidelines (FTA Circular 5010.1D) with regard to equipment, supplies, and rolling stock purchases by making the requirements part of the subrecipients' contract with MTC.

Financial Management: MTC complies with all applicable standards set forth in 49 CFR 18.20(b) and guidance in the FTA Grant Management Guidelines (FTA Circular 5010.1C) with regard to accounting records, internal controls, budget control, financial management systems, cost standards, financial reporting requirements, and annual audit. With regard to program income, funding from both programs is on a reimbursement basis, so no program income accrues to MTC. MTC does not conduct third-party contract audits.

Accounting System: MTC uses the Integrated Fund Accounting System (IFAS) to record and track program encumbrances and expenditures.

Audit: MTC complies with the requirements of OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations" and provisional OMB Circular A-133 Compliance Supplement of May 1998. MTC may also require subrecipients that are required to be audited because total Federal funds from all sources exceed the $500,000 threshold to submit A-133 audit reports for review to ensure that audit findings are resolved. At a minimum, MTC requires subrecipients to bring to MTC's attention any audit findings relevant to their use of FTA funds.

Close-Out: Upon project completion, MTC will comply with the requirements set forth in the Close-Out Procedures section of the FTA Grant Management Guidelines (FTA Circular 5010.1D) and of the JARC and New Freedom Circulars.

Project Monitoring and Reporting: MTC maintains spreadsheets to track project expenditures, amounts charged to funding sources, local matching sources, and project budgets and schedules. MTC will be responsible for reporting to FTA the total expenditures for each federal grant and reconciling the grant expenditures and revisions to the project budgets. Further, subrecipients are required to submit to MTC status reports on a quarterly basis.

On-Site Reviews: MTC and/or its representatives may perform on-site project monitoring visits with subrecipients. Site visits may be conducted using checklists that outline accounting and record-keeping requirements in compliance with OMB Circulars A-122 and A-87 if the subrecipient received operating assistance; OMB 49 CFR Part 18 and Part 19 administrative requirements; the regulatory requirements for receipt of federal funds; and vehicle inventory and maintenance records if the subrecipient received capital assistance.

Standards for Productivity, Cost-Effectiveness, and Service: MTC has not set standards for productivity, cost-effectiveness, and service. Subrecipients are required to report on the program measures outlined in Section XV above.

XVII. OTHER PROVISIONS

Environmental Protection: MTC anticipates funding only projects with categorical exclusions from both the National Environmental Protection Act (NEPA) and the State's Energy Conservation Plan and Clean Air and Water Pollution Acts. However, should a project be approved that is subject to environmental review, MTC will require the subrecipient to prepare the environmental document and Notice of Determination for federal certification before the subrecipient receives any project funds.

Buy America, Pre-Award and Post-Delivery Reviews: MTC does not anticipate funding procurements over $100,000. However, should such a project be approved, MTC will require subrecipients to certify compliance with Buy America requirements as listed in 49 USC 5323(j) and 49 CFR Part 661; and for procurement of vehicles other than sedans or unmodified vans, with pre-award audit, bid analysis, post-delivery audit, and final inspection requirements in 49 CFR parts 663 and 665.

Restrictions on Lobbying: MTC requires each subrecipient receiving more than $100,000 to complete FTA's Certification on Lobbying prior to contract execution.

Prohibition on Exclusive School Transportation: Subrecipients may not provide school bus transportation. School bus transportation is defined by FTA as transportation exclusively for school students or personnel. Subrecipients are required to certify compliance. An exception would be the transportation of students with disabilities who are eligible passengers.

Drug and Alcohol Testing: MTC requires subrecipients to make appropriate certifications of compliance with federal requirements for Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations.

Monitoring Compliance by Subrecipients: MTC makes appropriate certifications of compliance with Federal requirements. MTC includes language regarding these federal requirements in its contracts with subrecipients and requires each subrecipient to execute a certification of compliance with the relevant federal requirements. Subrecipient certifications are required of the subrecipient prior to the execution of a contract by MTC and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC may also conduct on-site visits as described in the previous section.

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APPENDIX A – 17

Regional Policies: Project Funding

FTA New Freedom Program Cycle 5
Program Guidelines for the San Francisco Bay Area
MTC Resolution No. 4116

Date: September 25, 2013
W.I.: 1512
Referred by: PAC
Revised: 11/20/13-C

ABSTRACT
Resolution No. 4116, Revised

This resolution adopts the program guidelines for Cycle 5 of the Federal Transit Administration's New Freedom Program for the large urbanized areas of the San Francisco Bay Area.

The following attachment is provided with the resolution:

Attachment A New Freedom Cycle 5 Program Guidelines for Large Urbanized Areas

This resolution was amended on November 20, 2013 to revise the application due date from January 3, 2014 to January 10, 2014.

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheet dated September 11, 2013 and November 13, 2013.

Date: September 25, 2013
W.I.: 1512
Referred by: PAC

Re: Guidelines for Cycle 5 of Federal Transit Administration's New Freedom Program

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION No. 4116

WHEREAS, Title 49 United States Code (U.S.C.) Section 5317 (49 U.S.C. 5317) authorizes and sets forth the provisions for the New Freedom Program, which makes grants to recipients for addressing the transportation needs of disabled persons through the provision of new services and facility improvements that go beyond those required by the Americans with Disabilities Act; and

WHEREAS, 49 U.S.C. §5317(c) apportions New Freedom funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, pursuant to California Government Code Section 66500 et seq., the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, consistent with 49 U.S.C. §5307(a)(2), MTC is the designated recipient of the Federal Transit Administration's (FTA's) New Freedom Program funding apportionments for large urbanized areas in the nine-county San Francisco Bay Area; and

WHEREAS, as the designated recipient, MTC is responsible for administering the program, including: conducting a competitive selection process; certifying a fair and equitable distribution of funds resulting from the competitive selection process; certifying that each project was derived from a locally developed, coordinated public transit-human services transportation plan, and certifying that the plan was developed through a process that included representatives of public, private, and non-profit transportation and human services providers and participation by the public; managing all aspects of grant distribution and oversight for subrecipients receiving funding under the program; and submitting reports as required by FTA; and

WHEREAS, MTC has developed program guidelines for Cycle 5 of the New Freedom Program, attached hereto as Attachment A, and incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the New Freedom Cycle 5 Program Guidelines as provided in Attachment A; and be it further

RESOLVED, that MTC will use these guidelines to conduct the competitive selection process for Cycle 5 of the New Freedom Program.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on September 25, 2013.

Date: September 25, 2013
W.I.: 1512
Referred by: PAC
Revised: 11/20/13-C

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MTC Resolution No. 4116
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METROPOLITAN
TRANSPORTATION
COMMISSION

New Freedom Cycle 5 Program Guidelines for Large Urbanized Areas

September 2013

Date: September 25, 2013
W.I.: 1512
Referred by: PAC
Revised: 11/20/13-C

Attachment A
MTC Resolution No. 4116
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METROPOLITAN
TRANSPORTATION
COMMISSION

New Freedom Cycle 5 Program Guidelines for Large Urbanized Areas

September 2013

METROPOLITAN TRANSPORTATION COMMISSION
NEW FREEDOM CYCLE 5 PROGRAM GUIDELINES
FOR LARGE URBANIZED AREAS

September 2013

The following guidelines are excerpted from Federal Transit Administration (FTA) Circular C 9045.1, the *New Freedom Program Guidance and Application Instructions*, except where modified to meet the region's needs or where additional clarification is provided. The FTA Circular is available at www.fta.dot.gov/laws/circulars/leg_reg_6624.html. MTC's Program Management Plan for New Freedom can be found at http://www.mtc.ca.gov/funding/FTA/RES-3986_approved.pdf.

1. INTRODUCTION. In March 2013, MTC completed and adopted an updated Coordinated Public Transit – Human Services Transportation Plan (Coordinated Plan). Pursuant to federal requirements, projects funded through the New Freedom program and two other FTA programs (Section 5316 Job Access Reverse Commute program and Section 5310 Elderly Individuals and Individuals with Disabilities) must be derived from a Coordinated Plan. FTA describes the Coordinated Plan as a "unified, comprehensive strategy for public transportation service delivery that identifies the transportation needs of individuals with disabilities, older adults, and individuals with limited income, laying out strategies for meeting these needs, and prioritizing services."

In the 2013 update to the Bay Area's Coordinated Plan, in addition to considering which projects or solutions could directly address transportation gaps for seniors, low-income persons and persons with disabilities, the planning effort also considered how best to coordinate services so that existing resources can be used as efficiently as possible. One of the key coordination strategies was to strengthen mobility management throughout the Bay Area, by:

- Identifying and designating Consolidated Transportation Service Agencies (CTSAs) to facilitate subregional mobility management and transportation coordination efforts
- Providing information and managing demand across a family of transportation services
- Coordinating advocacy with human service agencies to identify resources to sustain coordinated transportation service delivery

As recommended in the Coordinated Plan Update, **MTC is prioritizing the New Freedom Cycle 5 funds for implementing projects and activities consistent with the mobility management strategies detailed in Chapter 8 of the plan, available at www.mtc.ca.gov/planning/pths/.**

All activities that meet federal eligibility requirements, as described in section 9 below, are eligible to receive funding in this call for projects, including mobility management, operations and capital projects; however, in the New Freedom Cycle 5 application form and scoring criteria, there is increased emphasis on mobility management and coordination. Refer to Chapters 7 & 8, and Appendix C of the Coordinated Plan, available at www.mtc.ca.gov/planning/pths/, for several examples of mobility management projects.

A variety of mobility management activities are currently taking place throughout the Bay Area. Some efforts are well-developed, while others are in their infancy. In areas where mobility management activities are well-developed, applicants are encouraged to consider how their project can be coordinated with existing efforts, and/or how existing efforts can be maintained or expanded. In areas where mobility management activities are just beginning and/or are taking place in a fragmented manner, applicants are encouraged to consider how existing activities can be better coordinated or enhanced.

Even those applicants who are not proposing a mobility management project per se are encouraged to consider how their project might be better coordinated with local mobility management efforts and/or other transportation services in the area. For example, an applicant with an operations project should aim to have that service be part of a coordinated "family of transportation services," by participating in any local coordination activities that are available (e.g., information and referrals, shared driver training).

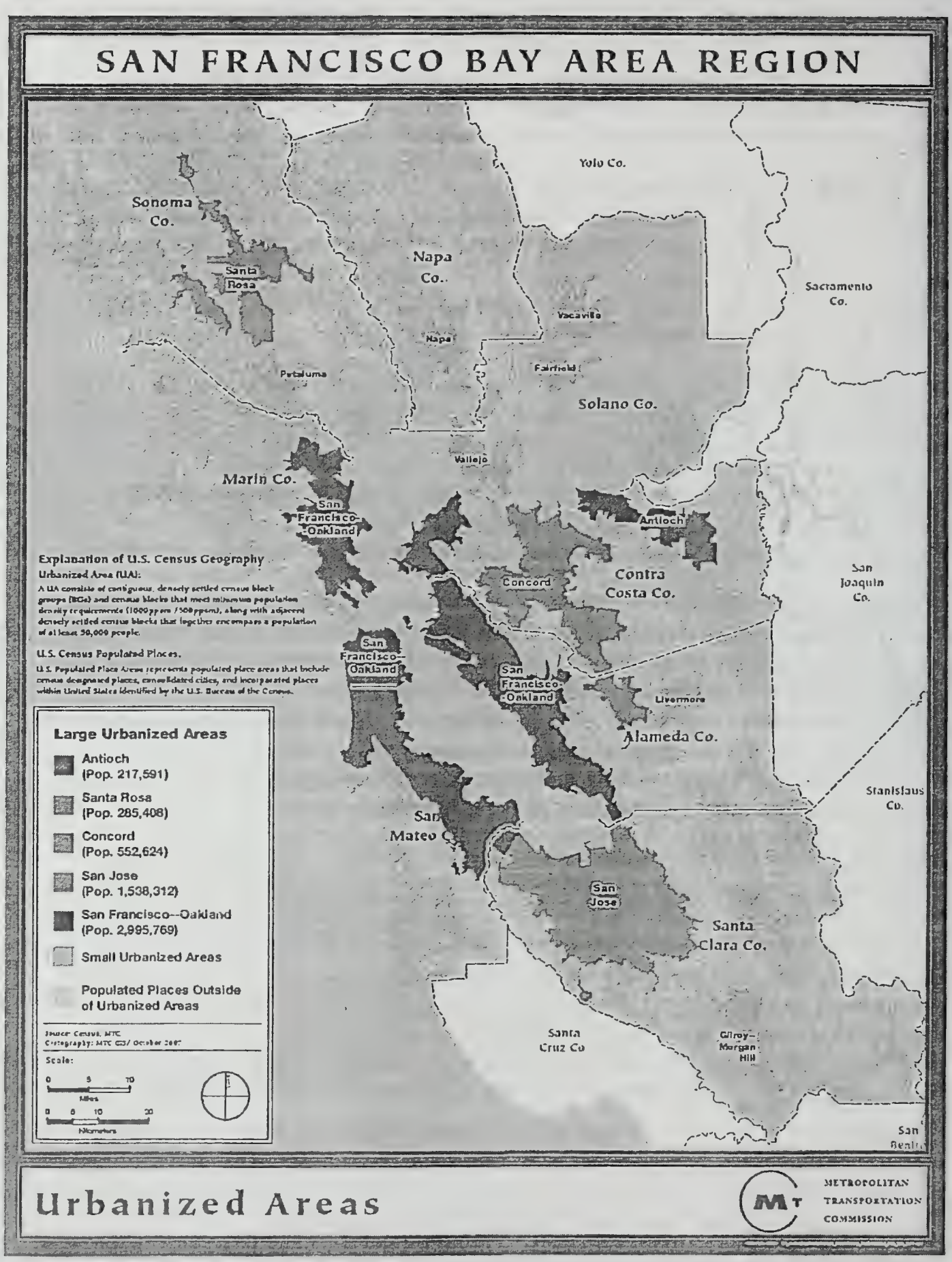
2. STATUTORY AUTHORITY. The New Freedom Program is authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users, (SAFETEA–LU), enacted on August 10, 2005, as codified at 49 U.S.C. 5317. The Secretary may make grants to recipients for new public transportation services and public transportation alternatives beyond those required by the Americans with Disabilities Act of 1990 (ADA) (42 U.S.C. 12101 et seq.), that assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services.

3. PROGRAM GOAL. The New Freedom formula grant program aims to provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society. Lack of adequate transportation is a primary barrier to work for individuals with disabilities. According to the FTA Circular, the 2000 Census showed that only 60 percent of people between the ages of 16 and 64 with disabilities are employed. The New Freedom formula grant program seeks to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements of the ADA of 1990.

4. FUNDING APPORTIONMENT AND AVAILABILITY. New Freedom funds are first apportioned 60 percent to large urbanized areas[1] (UAs), 20 percent to small UAs, and 20 percent to non-UAs. Funds are then apportioned to all designated recipients for an area type by the ratio of the number of disabled individuals in the designated recipient's area to the total number of disabled individuals for that area type. **Figure 1** shows the Bay Area's five large UAs and seven small UAs. (Note that the names given to the urbanized areas correspond to the most populated city/cities within the area, and that the urbanized areas themselves are larger than the cities for which they are named.) **Table 1** shows large UA apportionments for FYs 2006 through 2012. Funds are available to the region for obligation

[1] An urbanized area is an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an "urbanized area" by the Secretary of Commerce. Large urbanized areas as used in the context of FTA formula grant programs are urbanized areas with a population of greater than 200,000, and small urbanized areas are those with a population of at least 50,000 but less than 200,000.

Figure 1. Map of Urbanized Areas



during the fiscal year of apportionment plus two additional years. MTC has established a project delivery requirement that project sponsors must expend the New Freedom funds within three years of the FTA grant award or execution of subrecipient agreement with MTC, whichever is applicable.

Table 1. New Freedom Program Apportionments

	Past Calls for Projects						Current Call for Projects
	Cycle 1	Cycle 2	Cycle 3		Cycle 4		Cycle 5
Area	Actual FY 2006	Actual FY 2007	Actual FY 2008	Actual FY 2009	Actual FY 2010	Actual FY 2011	Actual FY 2012
Bay Area Large UA	$1,545,232	$1,612,117	$1,741,484	$2,007,374	$1,970,119	$1,980,295	$2,003,313
Antioch	*$56,232*	*$60,601*	*$65,464*	*$75,459*	*$74,058*	*$74,441*	*$75,306*
Concord	*$127,429*	*$121,779*	*$131,551*	*$151,636*	*$148,822*	*$149,591*	*$151,329*
S.F.-Oakland	*$885,254*	*$950,208*	*$1,026,459*	*$1,183,180*	*$1,161,221*	*$1,167,218*	*$1,180,786*
San Jose	*$404,370*	*$399,440*	*$431,494*	*$497,374*	*$488,143*	*$490,665*	*$496,368*
Santa Rosa	*$71,947*	*$80,089*	*$86,516*	*$99,725*	*$97,875*	*$98,380*	*$99,524*

UA = Urbanized Area

5. ROLE OF THE DESIGNATED RECIPIENTS. MTC is the designated recipient for the Bay Area's large UA funding apportionment, and Caltrans is the designated recipient for California's small and non-UA funding apportionments. The designated recipient is responsible for conducting the competitive selection process to determine which projects should receive funding. For the large UA apportionment, the competitive selection is conducted on a region-wide basis. For the small and non-UA apportionment, the competitive selection is conducted by Caltrans on a statewide basis.

   Once projects are selected in the large UA competitive process, transit operators with selected projects that are FTA grantees (i.e., transit operators that are direct recipients under Section 5307 and typically receive funds directly from FTA) must submit their own New Freedom grants to FTA and serve as direct recipients of the funds. To prevent the funds from lapsing on the September 30, 2014 federal obligation deadline, MTC reserves the right to reprogram funds if direct recipients fail to submit their FTA grant by July 31, 2014. Direct recipients are responsible for carrying out the terms of their grants.

   MTC will serve as the direct recipient of New Freedom funds for transit operators or public entities that are not FTA grantees, and for non-profits that are selected in the large UA competitive process, subject to the restrictions included in sections 7 and 9 below. These agencies and organizations will enter into a subrecipient relationship with MTC through the execution of funding agreements with MTC. MTC will monitor subrecipient compliance with federal requirements through inclusion of such requirements in funding agreements and through ongoing monitoring activities.

6. FUNDING DISTRIBUTION. Projects may compete for funding that is apportioned to the UA in which the project will provide services. Projects that will provide services in multiple UAs may compete for funding from all of the affected UAs. This call for projects is for large UAs only.

Large UA Programming Targets. Cycles 1 through 4 programmed the FY2006 through FY2011 apportionments. The total funding available for the Bay Area's large UAs in Cycle 5 is approximately $1.8 million. This consists of the FY2012 apportionments, less a five percent set-aside for program administration and an additional five percent set-aside for a Mobility Management Roadmap study.[2] The target programming amount for each large UA is shown in **Table 2.** There is no minimum or maximum grant request, except that applicants should not request more than the target amount for the large UAs in which their projects will provide services.

Table 2. Programming Targets for New Freedom Program Cycle 4

Area	Cycle 5 Targets
Bay Area Large UA	**$1,802,982**
Antioch	*$67,775*
Concord	*$136,196*
San Francisco-Oakland	*$1,062,707*
San Jose	*$446,731*
Santa Rosa	*$89,572*

UA = Urbanized Area

Small and Non-UA Programming Targets. The small and non-UA calls for projects are conducted by Caltrans. The last small and non-UA call for projects took place in winter 2012. Additional information about the small and non-UA New Freedom program can be found on the Caltrans website: http://www.dot.ca.gov/hq/MassTrans/5317.html

7. ELIGIBLE RECIPIENTS/SUBRECIPIENTS. There are three categories of eligible recipients/subrecipients of New Freedom funds: a) private non-profit organizations; b) state or local governmental authorities; and c) operators of public transportation services. Private operators of public transportation services are only eligible for Bay Area large UA New Freedom funds if they partner with an FTA grantee transit operator that is willing to serve as the direct recipient of the funds and pass through the funds to the private operator.

   All recipients/subrecipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.[3] A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (http://fedgov.dnb.com/webform).

8. ROLE OF RECIPIENTS/SUBRECIPIENTS. New Freedom recipients/subrecipients' responsibilities include:
   - For direct recipients (transit operators who are FTA grantees), submitting a grant application to FTA and carrying out the terms of that grant;
   - Meeting program requirements and grant/funding agreement requirements including, but not limited to, Title VI reporting requirements;

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[2] The federal New Freedom guidance allows MTC to use up to 10 percent of the total fiscal year New Freedom apportionment to fund program administration costs including administration, planning and technical assistance.

[3] A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct subrecipients.

- Making best efforts to execute selected projects; and
- Complying with other applicable local, state, and federal requirements.

9. ELIGIBLE ACTIVITIES.

a. General. New Freedom Program funds are available for capital and operating expenses that support new public transportation services beyond those required by the ADA and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support services. "New" service is any service or activity that was not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the STIP. In other words, if not for the New Freedom Program, the project would not have consideration for funding, and the proposed service enhancements would not be available for individuals with disabilities. Recipients or subrecipients may not terminate ADA paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as "new" and then receive New Freedom funds for those services.

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of the ADA and must (1) be targeted toward individuals with disabilities; and (2) meet the intent of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

b. Mobility Management Emphasis. Consistent with the Bay Area's Coordinated Plan, New Freedom Cycle 5 will prioritize projects and activities consistent with the mobility management strategies detailed in Chapter 8 of the plan, available at www.mtc.ca.gov/planning/pths/.

All activities that meet federal eligibility requirements are eligible to receive funding in this call for projects, including mobility management, operations and capital projects; however, in the application form and scoring criteria, there is increased emphasis on mobility management and coordination.

c. Illustrative List of Eligible Activities. Following is an illustrative list of activities that are eligible for funding under New Freedom:

New Public Transportation Services Beyond the ADA

- Enhancing paratransit beyond minimum requirements of the ADA
- Feeder services
- Making accessibility improvements to transit and intermodal stations not designated as key stations under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station
- Travel training

- New and expanded fixed route and demand responsive transit service planned for and designed to meet the needs of individuals with disabilities[4]

New Public Transportation Alternatives Beyond the ADA

- Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs. Note: Due to the complex nature of federal vehicle procurement projects, and MTC's limited expertise in this area, private non-profit organizations and private operators of public transportation services may only apply for Bay Area large UA New Freedom funds to purchase vehicles if they partner with an FTA grantee transit operator that is willing to serve as the direct recipient of the funds. The transit operator would be responsible for submitting the grant to FTA and carrying out the terms of the grant, including monitoring the non-profit organization or private operator's compliance with all federal requirements.
- Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers
- Supporting new volunteer driver and aide programs
- Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation

Refer to Appendix 1 for additional requirements pertaining to the above examples. The list is not intended to be exhaustive. Applicants are encouraged to develop innovative solutions to meet the needs of individuals with disabilities in their communities, considering the transportation needs, proposed solutions, and enhanced coordination strategies identified in the Bay Area's Coordinated Public Transit-Human Services Transportation Plan (see Section 1 and Section 11).

10. FEDERAL/LOCAL MATCHING REQUIREMENTS.

a. General. New Freedom funds may be used to finance capital and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity.

The local share of eligible capital costs shall be no less than 20 percent of the net cost of the activity, and the local share for eligible operating costs shall be no less than 50 percent of the net operating costs. All of the local share must be provided from sources other than federal Department of Transportation (DOT) funds. Some examples of sources of local match which may be used for any or all of the local share include: state or local appropriations; other non-DOT Federal funds; dedicated tax revenues; private donations; revenue from human service contracts; and net income generated from advertising and concessions. Non-cash share such as donations, volunteer services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

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[4] FTA originally said that these activities were not eligible for New Freedom funding; however, on April 29, 2009, the FTA issued a notice of policy statement in the Federal Register, announcing that it had revised its interpretation of the New Freedom circular to say that these activities are eligible for New Freedom funding. See Federal Register Vol. 74, No. 81, pages 19624-19627.

Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for New Freedom operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

b. Exceptions. The Federal share is 90 percent for vehicle-related equipment and facilities required by the Clean Air Act (CAA) or the Americans with Disabilities Act (ADA). It is only the incremental cost of the equipment or facility required by the CAA or ADA that may be funded at 90 percent, not the entire cost of the vehicle or facility, even if the vehicle or facility is purchased for use in service required by the ADA or CAA. *Applicants wishing to apply for assistance at the higher match ratio should inform MTC before submitting an application, as MTC would need to consult the FTA regional office for further guidance regarding methods of computing the incremental cost.*

c. Use of Other Federal Funds. Local match may be derived from other federal programs that are eligible to be expended for transportation, other than funds from DOT programs. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. To be eligible for local match for FTA funds, the other federal funds must be used for activities included in the total net project costs of the FTA grant. Expenditure of other federal funds for transportation outside of the scope of the project cannot be applied as a credit for local match in the FTA grant. Specific program information for other types of Federal funding is available at www.unitedweride.gov.

d. Mobility Management as an Eligible Capital Expense. According to the New Freedom circular (FTA C 9045.1), mobility management is an eligible capital cost, which means that the federal share may not exceed 80 percent of the net cost of the activity. In order to be eligible for that higher federal share (80 percent rather than the typical 50 percent), the project must meet FTA's definition of mobility management, which can be found in Appendix 1 or in the New Freedom Circular Chapter III, Section 11.b.(4). The New Freedom Circular is available at http://www.fta.dot.gov/documents/FTA_C_9045.1_New_Freedom%281%29.pdf

11. COORDINATED PLANNING. SAFETEA requires that projects selected for funding under the Elderly Individuals and Individuals with Disabilities (Section 5310), Job Access and Reverse Commute (JARC), and New Freedom programs be "derived from a locally developed, coordinated public transit-human services transportation plan", and that the plan be "developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public." A locally developed, coordinated, public transit-human services transportation plan ("coordinated plan") identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, and provides strategies for meeting those local needs. The Bay Area's Coordinated Plan was updated in March 2013 and is available at http://www.mtc.ca.gov/planning/pths/.

Agencies and organizations interested in applying for New Freedom funds must consider the transportation needs, proposed solutions, and enhanced coordination strategies presented in

the Coordinated Plan in developing their project proposals. Applicants will be asked to demonstrate their proposed project's consistency with the Coordinated Plan. Following is a list of the solutions and strategies that are identified in Chapters 7 and 8, respectively, of the plan.

Solutions to Gaps

1. Mobility management, travel training, and transportation coordination activities
2. Additions or improvements to paratransit that exceed ADA requirements, and demand-responsive services other than ADA paratransit
3. Additions or improvements to public transit services and transit access
4. Solutions to address affordability barriers

Strategies to Enhance Coordination of Service Delivery

1. Strengthen mobility management in the Bay Area, by:
    a. Identifying and designating Consolidated Transportation Service Agencies (CTSAs) to facilitate subregional mobility management and transportation coordination efforts
    b. Providing information and managing demand across a family of transportation services
    c. Promoting coordinated advocacy with human service agencies to identify resources to sustain ongoing coordination activities
2. Promote walkable communities, complete streets, and integration of transportation and land use decisions

12. APPLICATION FORMS AND TECHNICAL ASSISTANCE. The application form will be available at http://www.mtc.ca.gov/funding/new_freedom.htm.

13. APPLICATION EVALUATION. Following an initial eligibility screening by MTC staff, eligible projects will be evaluated by a panel consisting of Bay Area representatives of disabled population interests and MTC staff. Applications will be evaluated based on the following criteria:

Need and Benefits	(maximum 40 points)

Extent to which project addresses critical needs for disabled individuals as identified in the Coordinated Plan

Effectiveness at mitigating or eliminating transportation barriers for disabled individuals

Extent to which project promotes integration of disabled individuals into the work force and their full participation in society

Extent to which project could only be funded by New Freedom Program or federal human service grant programs

Extent to which project provides additional benefits

Coordination, Partnership, & Outreach	(maximum 40 points)

Extent of coordination with other affected transportation systems, providers, and services, and with related social service programs (Note: all applicants are encouraged to coordinate with those agencies and organizations that have already initiated mobility management

activities in their service area, if applicable; non-transit operators are strongly encouraged to coordinate with transit operators in their service area; transit operators are strongly encouraged to coordinate with non-profit organizations and human service agencies that serve persons with disabilities.)

Extent to which project advances the development and implementation of coordinated transportation services

Extent to which specific coordination activities are expected to result in better utilization of and access to resources (e.g., vehicle will be used an additional X hours per week; productivity will increase from X passengers per hour to Y passengers per hour)

Extent of community support

Thoroughness of plan for marketing the project to beneficiaries

Project Readiness	(maximum 20 points)

Reasonableness and completeness of funding plan

Project sustainability beyond the grant period

Thoroughness of implementation plan and reasonableness of project schedule

Ability to use New Freedom grant to leverage additional resources

Sponsor's experience in managing services for disabled individuals

How project fits into a larger program with well-defined goals, objectives, and performance standards

Sponsor's institutional capacity to manage the project

Sponsor's history of managing federal transportation funds

14. TIMELINE. The anticipated timeline for Cycle 5 is as follows:

Release Call for Projects	End of September 2013
Outreach	Oct/Nov 2013
Applicant Workshop at MTC	Fall 2013
Project Applications Due to MTC	**January 2014**
Project Selection	Jan.-Feb. 2014
Commission Actions: Program Adoption and add projects to TIP	March 2014
Grant preparation by MTC and Direct Recipients	April/May 2014
Grant review by FTA	Spring/Summer 2014
Contract development between MTC and Subrecipients	Begin after FTA grant approval (estimated Summer/Fall 2014)

15. COMPLIANCE WITH FEDERAL REQUIREMENTS. Applicants should be prepared to abide by all applicable federal requirements as specified in 49 U.S.C. Section 5317, FTA Circulars C 9045.1 and 4702.1A, the most current FTA Master Agreement MA(13), and the most current Certifications and Assurances for FTA Assistance Programs.

    MTC includes language regarding these federal requirements in its funding agreements with subrecipients and requires each subrecipient to execute a certification of compliance with the relevant federal requirements. Subrecipient certifications are required of the subrecipient prior to the execution of a contract by MTC and annually thereafter when FTA publishes the annual list of certifications and assurances.

    Direct recipients are responsible for adhering to FTA requirements through their agreements and grants with FTA directly.

16. REPORTING REQUIREMENTS. Subrecipients to MTC will be required to submit quarterly reports to MTC on the following:
    a. Budget or schedule changes, if any
    b. Progress toward meeting milestones
    c. Quantitative or qualitative information, as available, on the following measures:
        (a) Services provided that impact availability of transportation services for individuals with disabilities as a result of the project for the reporting period;
        (b) Additions or changes to environmental infrastructure, technology, vehicles that impact availability of transportation services as a result of the project for the reporting period;
        (c) Actual or estimated rides (as measured by one-way trips) provided for individuals with disabilities as a result of the project for the reporting period
    d. Financial status report
    e. Disadvantaged Business Enterprise (DBE) participation as applicable.

    Direct recipients of New Freedom funds with active grants will be required to submit quarterly reports to FTA on the progress of their projects.

    Detailed quarterly reporting requirements will be included in the funding agreement (if sponsor is a subrecipient to MTC) or in the FTA grant (if sponsor is a direct grantee with FTA).

    Both direct recipients and subrecipients of New Freedom funds will be required to participate in FTA's annual Job Access and Reverse Commute (JARC) and New Freedom reporting, in which performance measures will be collected.

17. TITLE VI.
    In connection with MTC's Title VI monitoring obligations, as outlined in FTA Circular 4702.1B, Title VI Requirements and Guidelines for Federal Transit Administration Recipients, ("Title VI Circular"), issued on October 1, 2012 and as documented in MTC's

Program Management Plan for JARC and New Freedom (available at http://www.mtc.ca.gov/funding/JARC-New_Freedom/JARC-NF_PMP.htm), applicants will be required to provide the following information:

- The organization's policy regarding Civil Rights (based on Title VI of the Civil Rights Act) and for ensuring that benefits of the project are distributed equitably among minority population groups in the project's service area.
- Information on whether the project will provide assistance to predominantly minority populations. (Projects are classified as providing service to predominantly minority populations if the proportion of minority persons residing in the project's geographic service area exceeds the average proportion of minority persons in the region.)

In order to document that JARC and New Freedom funds are passed through without regard to race, color or national origin, and to document that minority populations are not being denied the benefits of or excluded from participation in the JARC and New Freedom programs, MTC will prepare and maintain the following information, as required by the Title VI Circular, Chapter VI(6):

a. A record of funding requests received from private non-profit organizations, State or local governmental authorities, and Indian tribes. MTC's records will identify those applicants that would use grant program funds to provide assistance to predominantly minority populations and indicate whether those applicants were accepted or rejected for funding.
b. A description of how MTC develops its competitive selection process or annual program of projects submitted to FTA as part of its grant applications. The description will emphasize the method used to ensure the equitable distribution of funds to subrecipients that serve predominantly minority populations, including Native American tribes, where present.
c. A description of MTC's criteria for selecting entities to participate in an FTA grant program.

MTC requires that all JARC and New Freedom subrecipients submit all appropriate FTA certifications and assurances to MTC prior to funding agreement execution and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC will not execute any funding agreements prior to having received these items from the selected subrecipients. MTC, within its administration, planning, and technical assistance capacity, also will comply with all appropriate certifications and assurances for FTA assistance programs and will submit this information to the FTA as required.

The certifications and assurances pertaining to civil rights include:

1. Nondiscrimination Assurances in Accordance with the Civil Rights Act

2. Documentation Pertaining to Civil Rights Lawsuits and Complaints

Nondiscrimination assurances included above involve the prohibition of discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibit discrimination in

employment or business opportunity, as specified by 49 U.S.C. 5332 (otherwise known as Title VI of the Civil Rights Act of 1964), as amended (42 U.S.C. 2000d et seq.) and U.S. DOT regulations, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act, 49 C.F.R. Part 21. By complying with the Civil Rights Act, no person, on the basis of race, color, national origin, creed, sex, or age, will be excluded from participation in, be denied the benefits of any program for which the subrecipient receives federal funding via MTC.

As a condition of receiving Federal Transit Administration JARC or New Freedom program funds, subrecipients must comply with the requirements of the US Department of Transportation's Title VI regulations. The purpose of Title VI is to ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Subrecipients are also responsible for ensuring compliance of each of their subrecipients (if any), including collecting Title VI Programs, and for ensuring that their third-party contractors are complying with Title VI and the subrecipient's Title VI Program. (See FTA C 4702.1B Chapter II (6) and Appendix L, Scenario Three.)

Title VI Programs

All JARC and NF subrecipients must submit Title VI Programs to MTC. Title VI Programs will be required with the submission of the standard agreement and annually thereafter with the submission of the annual FTA certifications and assurances.

Every Title VI Program shall include the following information (Note: detailed instructions on the following Title VI requirements are available in FTA C 4702.1B, Chapter III-2 through III-12):

(1) A copy of the subrecipient's Title VI notice to the public that indicates the subrecipient complies with Title VI, and informs members of the public of the protections against discrimination afforded to them by Title VI. Include a list of locations where the notice is posted. A sample Title VI notice is in FTA C 4702.1B, Appendix B. Subrecipients may choose to adopt MTC's notice to beneficiaries where appropriate.

(2) A copy of the subrecipient's instructions to the public regarding how to file a Title VI discrimination complaint, including a copy of the complaint form. Sample complaint procedures are in FTA C 4702.1B, Appendix C, and a sample Title VI complaint form is in FTA C 4702.1B, Appendix D. Subrecipients may choose to adopt MTC's complaint procedures and complaint form where appropriate.

(3) A list of any public transportation-related Title VI investigations, complaints, or lawsuits filed with the subrecipient since the time of the last submission. See FTA C 4702.1B, Appendix E for an example of how to report this information. This list should include only those investigations, complaints, or lawsuits that pertain to allegations of discrimination on the basis of race, color, and/or national origin in transit-related activities and programs and that pertain to the subrecipient submitting the report, not necessarily the larger agency or department of which the subrecipient is a part.

(4) A public participation plan that includes an outreach plan to engage minority and limited English proficient populations, as well as a summary of outreach efforts made since the last Title VI Program submission. A subrecipient's targeted public participation plan for minority populations may be part of efforts that extend more broadly to include other constituencies that are traditionally underserved, such as people with disabilities, low-income populations, and others. Subrecipients may choose to adopt MTC's public participation plan where appropriate.

(5) A copy of the subrecipient's plan for providing language assistance to persons with limited English proficiency, based on the DOT LEP Guidance. Subrecipients may choose to adopt MTC's language assistance plan where appropriate. Operational differences between MTC and the subrecipient may require, in some instances, that the subrecipient tailor its language assistance plan.

(6) Subrecipients that have transit-related, non-elected planning boards, advisory councils or committees, or similar bodies, the membership of which is selected by the subrecipient, must provide a table depicting the racial breakdown of the membership of those committees, and a description of efforts made to encourage the participation of minorities on such committees or councils.

(7) Those subrecipients who are also primary recipients (i.e., those who have their own subrecipients) shall include a narrative or description of efforts the primary recipient uses to ensure subrecipients are complying with Title VI, as well as a schedule of subrecipient Title VI program submissions.

(8) If the subrecipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc., the subrecipient shall include a copy of the Title VI equity analysis conducted during the planning stage with regard to the location of the facility.

(9) Additional information as specified in FTA C 4702.1B chapters IV, V, and VI, depending on whether the subrecipient is a fixed route transit provider, a State, or an MPO.

The Title VI Program must be approved by the subrecipient's board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to MTC. Subrecipients shall submit a copy of the board resolution, meeting minutes, or similar documentation with the Title VI Program as evidence that the board of directors or appropriate governing entity or official(s) has approved the Title VI Program.

Appendix 1
New Freedom Program – Eligible Activities

The following list of eligible activities, excerpted from Federal Transit Administration (FTA) Circular C 9045.1, the *New Freedom Program Guidance and Application Instructions,* and Federal Register Vol. 74, No. 81, the *Notice of Policy Statement for Eligible New Freedom Projects* dated April 29, 2009, is intended to be illustrative, not exhaustive. Applicants are encouraged to develop innovative solutions to meet the needs of individuals with disabilities in their communities, considering the transportation needs, solutions, and strategies for enhanced coordination in the Bay Area's Coordinated Public Transit-Human Services Transportation Plan (see Section 9 of MTC's New Freedom Program Guidelines).

New Public Transportation Services Beyond the ADA*	
Enhancing paratransit beyond minimum requirements of the ADA	ADA complementary paratransit services can be eligible under New Freedom in several ways as long as the services provided meet the definition of "new:" ▪ Expansion of paratransit service parameters beyond the three-fourths mile required by the ADA; ▪ Expansion of current hours of operation for ADA paratransit services that are beyond those provided on fixed-route services; ▪ Incremental cost of providing same day service; ▪ Incremental cost of making door-to-door service available to all eligible ADA paratransit riders, but not as a reasonable modification for individual riders in an otherwise curb-to-curb system; ▪ Enhancement of the level of service by providing escorts or assisting riders through the door of their destination; ▪ Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for common wheelchairs under the ADA and labor costs of aides to help drivers assist passengers with over-sized wheelchairs. This would permit the acquisition of lifts with a larger capacity, as well as modifications to lifts with a 600 lb design load, and the acquisition of heavier-duty vehicles for paratransit and/or demand-response service; and ▪ Installation of additional securement locations in public buses beyond what is required by the ADA.
Feeder services	New "feeder" service (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations, for which complementary paratransit service is not required under the ADA.

New Public Transportation Services Beyond the ADA* (continued)	
Making accessibility improvements to transit and intermodal stations not designated as key stations	Improvements for accessibility at existing transportation facilities that are not designated as key stations established under 49 CFR 37.47, 37.51, or 37.53, and that are not required under 49 CFR 37.43 as part of an alteration or renovation to an existing station, so long as the projects are clearly intended to remove barriers that would otherwise have remained. New Freedom funds are eligible to be used for new accessibility enhancements that remove barriers to individuals with disabilities so they may access greater portions of public transportation systems, such as fixed-route bus service, commuter rail, light rail and rapid rail. This may include: ▪ Building an accessible path to a bus stop that is currently inaccessible, including curbcuts, sidewalks, accessible pedestrian signals or other accessible features, ▪ Adding an elevator or ramps, detectable warnings, or other accessibility improvements to a non-key station that are not otherwise required under the ADA, ▪ Improving signage, or wayfinding technology, or ▪ Implementation of other technology improvements that enhance accessibility for people with disabilities including Intelligent Transportation Systems (ITS).
Travel training	New training programs for individual users on awareness, knowledge, and skills of public and alternative transportation options available in their communities. This includes travel instruction and travel training services.

New Public Transportation Services Beyond the ADA* (continued)	
New and expanded fixed route and demand responsive transit service planned for and designed to meet the needs of individuals with disabilities	New or expanded fixed route service and new or expanded demand response service which constitute new public transportation services beyond those required by ADA of 1990 (42 U.S.C. Section 12101 et seq.) that assist individuals with disabilities with transportation, and are therefore eligible for funding under the New Freedom program, provided that these services: (1) Are identified in the grant applicant's coordinated public transit human services transportation plan; (2) Are available to the public at large but were planned and designed to meet the mobility needs of individuals with disabilities in response to circumstances where existing fixed route and demand response transportation is unavailable or insufficient to meet the mobility needs of individuals with disabilities; (3) Were not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Program (TIP) or the State Transportation Improvement Program (STIP); and (4) Are not designed to allow an agency to meet its obligations under the ADA or the DOT ADA implementing regulations at 49 CFR parts 37 and 38. Examples of such services would be: ▪ A fixed route service that is open to the general public but that is extended to serve a congregate living facility or a workplace serving large numbers of individuals with disabilities; or ▪ A demand response service that is available to the general public but whose service coverage or span of service is designed in response to mobility needs expressed by individuals with disabilities. FTA notes that expanded fixed route service may result in expanded ADA complementary paratransit service; since the ADA complementary paratransit service is required under the ADA, it would not be eligible for New Freedom funding. All new or expanded fixed route and demand responsive services funded under the New Freedom program will be subject to the requirements of the ADA and DOT ADA implementing regulations.

New Public Transportation Alternatives Beyond the ADA*	
Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs.	New Freedom funds can be used to purchase and operate accessible vehicles for use in taxi, ridesharing and/or van pool programs provided that the vehicle has the capacity to accommodate a passenger who uses a "common wheelchair" as defined under 49 CFR 37.3, at a minimum, while remaining in his/her personal mobility device inside the vehicle, and meeting the same requirements for lifts, ramps and securement systems specified in 49 CFR part 38, subpart B. Due to the complex nature of federal vehicle procurement projects, and MTC's limited expertise in this area, private non-profit organizations and private operators of public transportation services may only apply for Bay Area large UA New Freedom funds to purchase vehicles if they partner with an FTA grantee transit operator that is willing to serve as the direct recipient of the funds. The transit operator would be responsible for submitting the grant to FTA and carrying out the terms of the grant, including monitoring the non-profit organization or private operator's compliance with all federal requirements.
Supporting the administration and expenses related to new voucher programs for transportation services offered by human service providers.	This activity is intended to support and supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Only new voucher programs or expansion of existing programs are eligible under the New Freedom Program. Vouchers can be used as an administrative mechanism for payment of alternative transportation services to supplement available public transportation. The New Freedom Program can provide vouchers to individuals with disabilities to purchase rides, including: (a) mileage reimbursement as part of a volunteer driver program; (b) a taxi trip; or (c) trips provided by a human service agency. Providers of transportation can then submit the voucher for reimbursement to the recipient for payment based on pre-determined rates or contractual arrangements. Transit passes for use on existing fixed route or ADA complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50/50 (Federal/local) match.
Supporting new volunteer driver and aide programs.	New volunteer driver programs are eligible and include support for costs associated with the administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, and other related support functions, mileage reimbursement, and insurance associated with volunteer driver programs. The costs of new enhancements to increase capacity of existing volunteer driver programs are also eligible. FTA notes that any volunteer program supported by New Freedom must meet the requirements of both "new" and "beyond the ADA." FTA encourages communities to offer consideration for utilizing all available funding resources as an integrated part of the design and delivery of any volunteer driver/aide program.

New Public Transportation Alternatives Beyond the ADA* (continued)	
Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation.	Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access for populations beyond those served by one agency or organization within a community. For example, a non-profit agency could receive New Freedom funding to support the administrative costs of sharing services it provides to its own clientele with other individuals with disabilities and coordinate usage of vehicles with other non-profits, but not the operating costs of the service. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service. Mobility management activities may include: ▪ The promotion, enhancement, and facilitation of access to transportation services, including the integration and coordination of services for individuals with disabilities, older adults, and low-income individuals; ▪ Support for short term management activities to plan and implement coordinated services; ▪ The support of State and local coordination policy bodies and councils; ▪ The operation of transportation brokerages to coordinate providers, funding agencies and customers; ▪ The provision of coordination services, including employer-oriented Transportation Management Organizations' and Human Service Organizations' customer-oriented travel navigator systems and neighborhood travel coordination activities such as coordinating individualized travel training and trip planning activities for customers; ▪ The development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and ▪ Operational planning for the acquisition of intelligent transportation technologies to help plan and operate coordinated systems inclusive of Geographic Information Systems (GIS) mapping, Global Positioning System Technology, coordinated vehicle scheduling, dispatching and monitoring technologies as well as technologies to track costs and billing in a coordinated system and single smart customer payment systems (acquisition of technology is also eligible as a stand alone capital expense).

* "New" service is any service or activity that was not operational on August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Plan (TIP) or the State TIP. In other words, the project would not have consideration for funding and the proposed service enhancement would not be available for individuals with disabilities if not for the New Freedom Program. Recipients or subrecipients may not terminate ADA paratransit enhancements or other services funded as of August 10, 2005, in an effort to reintroduce the services as "new" and then receive New Freedom funds for those services.

APPENDIX A – 18

Regional Policies: Project Funding

Project Review Criteria and Procedures
MTC Resolution No. 3115

Date: October 28, 1998
W.I.: 61.1.10
Referred By: WPC

ABSTRACT
Resolution No. 3115

This resolution adopts the criteria and procedures to be employed by the MTC in the review and approval of projects and related grant applications pursuant to §§ 66518 and 66520 of the Government Code, and § 21655.6 of the Vehicle Code, and federal Intergovernmental Review requirements, and fulfill MTC's responsibilities under the memoranda of understanding with the Association of Bay Area Governments and the California Department of Transportation as authorized pursuant to MTC Resolution No. 1569.

This resolution supersedes MTC Resolution No. 1570.

Date: October 28, 1998
W.I.: 61.1.10
Referred By: WPC

Re: Project Review Criteria and Procedures

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3115

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, Government Code § 66518 provides that the California Transportation Commission, when allocating funds for construction projects on the state highway system within the region, shall determine that the projects conform to the MTC's Regional Transportation Plan and its schedule of priorities; and

WHEREAS, Government Code § 66520 provides that any application to the state or federal government, for any grant of money, whether an outright or matching grant, by any city, city and county, county, or transportation district within the San Francisco Bay Area shall, if it contains a transportation element, first be submitted to MTC for review as to its compatibility with the Regional Transportation Plan (RTP), and the schedule of priorities included therein; and

WHEREAS, Vehicle Code § 21655.6 requires that the Department of Transportation (Caltrans) obtain the approval of the regional transportation planning agency prior to establishing the exclusive or preferential use of highway lanes for high-occupancy vehicles; and

WHEREAS, certain transportation projects and/or programs defined in federal regulations (49 CFR 17) are subject to Intergovernmental Review under procedures implementing Executive Order 12372; and

WHEREAS, a Memorandum of Understanding (MOU) among the Association of Bay Area Governments (ABAG), the California Department of Transportation (Caltrans), and the MTC defines their respective roles and responsibilities in the Intergovernmental Review process (MTC Resolution No. 1569); and

WHEREAS, by Resolution No. 1570 the MTC adopted criteria used to determine the "Regional vs. Local" nature of projects to be reviewed, and instituted a project classification listing to indicate the application of those criteria in selecting projects for review; and

WHEREAS, the MTC desires to establish criteria and procedures for project review and application approval appropriate to the type of transportation projects and/or programs which are the subject of such action; now, therefore, be it

RESOLVED, that the MTC finds that the criteria and procedures for project review and application approval described in Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length, permit the efficient and proper discharge of its responsibilities under Sections 66518 and 66520 of the Government Code and § 21655.5 of the Vehicle Code; and, be it further

RESOLVED, that the MTC finds that those criteria and procedures satisfy Intergovernmental Review requirements and fulfill its responsibilities under the MOU; and, be it further

RESOLVED, that the MTC adopts the criteria and procedures for project review and application approval shown in Attachment A as those to be employed for such actions henceforth; and, be it further

RESOLVED, that the MTC directs staff, with the next annual cycle, to revise the project review procedures described in the Regional Transportation Plan to conform to those contained in Attachment A; and, be it further

RESOLVED, that Resolution No. 1570 is hereby superseded.

METROPOLITAN TRANSPORTATION COMMISSION

Jim Spering, Chairman

The above resolution was entered into by
the Metropolitan Transportation Commission
at a regular meeting of the Commission held
in Oakland, California on October 28, 1998.

MTC Project Review and Application Approval Criteria and Procedures

I. PROJECT REVIEW — COMMISSION REVIEW AND APPLICATION APPROVAL

Any projects or program contained in the Annual/biennial Element of the Transportation Improvement Program (TIP) which fall under any of the criteria for major transportation projects listed below shall require Project Review by MTC to determine consistency with the Regional Transportation Plan and as a condition for implementation.

This shall also apply to any project or program amended into the Annual/biennial element of the TIP subsequent to its adoption.

Criteria

1. The authorizing or permitting exclusive or preferential use of highway lanes for high-occupancy vehicles, with the exception of HOV bypass lanes, by the State Department of Transportation;
2. The construction of mixed-flow highway lanes or of auxiliary lanes which do not terminate at the first subsequent interchange on the State highway system.
3. Interchange or local arterial improvements which have the potential to affect main-line operations on the State Highway System;
4. Transit projects that involve the construction of rail extensions, new stations, or parking facilities that exceed 500 parking spaces;
5. Transportation projects that have special circumstances or issues (i.e. design, environmental, financial) that warrant a review by the Commission.

Procedure:

All projects or programs contained in the Annual/Biennial Element of the current Transportation Improvement Program (TIP) falling under any one of the above criteria must be submitted to MTC by the project sponsor for project review and application approval, pursuant to Sections 66518 or 66520 of the California Government Code.

Upon receipt of an application, staff reviews the project or program documentation and, if appropriate, advises the applicant of any deficiencies or other problems likely to delay application approval. When the project sponsor's documentation and applicable environmental analysis is found to be satisfactory, staff prepares a Staff Evaluation of the project and a

resolution that determines that the project conforms with the RTP, and supports the grant application for the amounts contained in the Annual/Biennial Element. The Staff Evaluation and resolution are presented to the Grant Review & Allocations Committee for review and, if found satisfactory, referral to the Commission for approval. The project sponsor can access TIP funding only after Commission approval of the application.

II. ADMINISTRATIVE APPROVAL

Any project or program contained in the annual/biennial element of the Transportation Improvement Program (TIP) not falling under any of the criteria for major transportation projects listed above shall be considered consistent with the Regional Transportation Plan and the schedule of priorities included therein, and will require no further review or approval action by MTC as a condition for implementation.

Procedure

In adopting the federal Transportation Improvement Program (TIP), the Annual/Biennial projects or programs eligible projects will be identified for administrative approval. Each entry in the TIP tabulation will include the name of the implementing agency, the project description (as shown in the TIP), and the total estimated cost in the Annual/Biennial Element. Unless a project is revised, no further review by MTC will be necessary after the approval of the TIP.

III. REVIEW OF LOCALLY FUNDED ROAD PROJECTS

Generally, locally funded road projects are not normally subject to project review and may be administratively approved. However, if these road projects significantly impact the State highway system, Project Review will be required to determine consistency with the Regional Transportation Plan.

Additionally, locally funded road projects that have regional significance will be listed in the TIP. *Regionally significant* projects must be included in the TIP to ensure adequacy of the federal air quality conformity analysis. *Regionally significant projects* mean capacity increasing projects that normally include principal arterial highways or fixed guideway transit facilities or that offer an alternative to regional highway travel.

Other related actions, such as an amendment of the Transportation Improvement Program, may be necessary in addition to the process described above.

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APPENDIX A – 19

Regional Policies: Project Funding

Funding Framework for a High Speed Rail Early Investment Strategy for a Blended System in the Peninsula Corridor

MTC Resolution No. 4056

Date: March 28, 2012
W.I.: 1512
Referred By: Commission

ABSTRACT

Resolution No. 4056

This resolution approves an Agreement and establishes a funding framework among MTC, the California High Speed Rail Authority (the Authority), the Peninsula Corridor Joint Powers Board (JPB), the San Francisco County Transportation Authority (SFCTA), the San Mateo County Transportation Authority (SMCTA), VTA, the City of San Jose, the City and County of San Francisco, and the Transbay Joint Powers Authority (TJPA), for a High Speed Rail Early Investment Strategy for a blended system in the Peninsula Corridor.

Further discussion of the High Speed Rail Early Investment Strategy is contained in the Executive Director's memorandum dated March 21, 2012.

Date: March 28, 2012
W.I.: 1512
Referred by: Commission

Re: High Speed Rail Early Investment Strategy

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4056

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code 66500 et. seq.; and

WHEREAS, the California High-Speed Rail Authority (Authority) is responsible for planning, building and maintaining an 800-mile statewide high-speed rail system and improved mobility through the development of safe, clean, reliable rail technology; and

WHEREAS, the Authority is exclusively charged with accepting grants, fees and allocations from the state, from political subdivisions of the state and from the federal government, foreign governments, and private sources; and

WHEREAS, the Authority's 2012 Business Plan proposes to incrementally develop the California High-Speed Train (HST) system utilizing a blended system approach that will coordinate the development and operations of HST with existing passenger rail systems that improves, enhances and expands the integration of high-speed and regional/local passenger rail systems; and

WHEREAS, this blended approach requires a series of incremental investments in the peninsula corridor to prepare for integrated service and operations and the Authority recognizes the need for a collaborative effort with regional and local agencies to identify early investment projects along existing rail corridors that increases service, improves safety and efficiency, and creates linkages between HST and local passenger rail service; and

WHEREAS, on December 19, 2001, MTC adopted the Regional Transit Expansion Program of Projects (Resolution 3434) which includes the Transbay Transit Center Phase 2

Downtown Extension and Caltrain Electrification projects as regional priorities for transit expansion; and

WHEREAS, MTC, the Authority, the Peninsula Corridor Joint Powers Board (JPB), the San Francisco County Transportation Authority (SFCTA), the San Mateo County Transportation Authority (SMCTA), VTA, the City of San Jose, the City and County of San Francisco, and the Transbay Joint Powers Authority (TJPA) (collectively, Parties) staff have collaboratively and in good faith prepared a Memorandum of Understanding, as set forth in Attachment A to this Resolution, attached hereto and incorporated herein as though set forth at length, that sets forth principles for developing the corridor electrification and advance signal system elements of the blended system; and

WHEREAS, all Parties are involved in the planning, funding, construction and/or operation of heavy and light rail transit, buses, and/or commuter train services in the peninsula corridor and are considering intermodal service integration, including linkages to the proposed HST service; and

WHEREAS, all Parties wish to establish a policy-level commitment of funding for the electrification and advance signal system elements of the blended system, as set forth in Attachments B and C to this Resolution, attached hereto and incorporated herein as though set forth at length; now therefore be it

RESOLVED, that MTC approves the Memorandum of Understanding for a High Speed Rail Early Investment Strategy as set forth in Attachment A and incorporated herein; and be it further

RESOLVED, that all Parties have agreed to and approve the funding plan set forth in Attachment B and incorporated herein; and be it further

RESOLVED, that the Executive Director is authorized to execute Attachment A on behalf of MTC, and to make non-substantive changes or minor amendments as deemed appropriate subject to review by MTC's Office of General Counsel for form; and, be it further

RESOLVED, that MTC agrees to provide the funds as shown in Attachment B subject to the Authority, JPB, VTA, SFCTA and BART also agrees to provide the funds as shown in Attachment B; and be it further

RESOLVED, that MTC agrees to take timely follow-up approval actions as may be necessary to allocate and program specific funding indentified in Attachment B.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

This resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on March 28, 2012.

Date: March 28, 2012
W.I.: 1512
Referred by: Commission

Attachment A
Resolution No. 4056
Page 1 of 4

MEMORANDUM OF UNDERSTANDING

HIGH SPEED RAIL EARLY INVESTMENT STRATEGY FOR A BLENDED SYSTEM IN THE SAN FRANCISCO TO SAN JOSE SEGMENT KNOWN AS THE PENINSULA CORRIDOR OF THE STATEWIDE HIGH-SPEED RAIL SYSTEM

BY AND AMOUNG THE FOLLOWING PARTIES (PARTIES)

CALIFORNIA HIGH SPEED RAIL AUTHORITY (AUTHORITY)
METROPOLITAN TRANSPORTATION COMMISSION (MTC)
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY (SFCTA)
SAN MATEO COUNTY TRANSPORTATION AUTHORITY (SMCTA)
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)
CITY OF SAN JOSE
CITY AND COUNTY OF SAN FRANCISCO
TRANSBAY JOINT POWERS AUTHORITY (TJPA)

Recitals

Whereas, the California High-Speed Rail AUTHORITY (AUTHORITY) is responsible for planning, building and maintaining an 800-mile statewide high-speed rail system and improved mobility through the development of safe, clean, reliable rail technology; and

Whereas, the AUTHORITY, in partnership with the Federal Railroad Administration is advancing a California High-Speed Train (HST) network that links the major metropolitan areas of the State of California utilizing corridors into and through Southern, Central and Northern California; and

Whereas, the AUTHORITY has responsibility for planning, construction and operation of high-speed passenger train service in California and is exclusively charged with accepting grants, fees and allocations from the state, from political subdivisions of the state and from the federal government, foreign governments, and private sources; and

Whereas, the AUTHORITY's 2012 Business Plan proposes to incrementally develop the HST system utilizing a blended system approach that will coordinate the development and operations of HST with existing passenger rail systems that improves, enhances and expands the integration of high-speed and regional/local passenger rail systems; and

Whereas, this blended approach requires a series of incremental investments in the Peninsula corridor to prepare for integrated service and operations and the AUTHORITY recognizes the need for a collaborative effort with regional and local agencies to identify early investment projects along existing rail corridors that improves service, improves safety and efficiency, and creates linkages between HST and local passenger rail service; and

Whereas, a blended system will remain substantially within the existing Caltrain right-of-way and will accommodate future high-speed rail and modernized Caltrain service along the Peninsula corridor by primarily utilizing the existing track configuration on the Peninsula; and

Whereas, this MOU is specific to project investments that upgrade existing rail service and prepare for a future high-speed train project that is limited to infrastructure necessary to support a blended system, which will primarily be a two-track system shared by both Caltrain and high-speed rail and will be designed to continue to support existing passenger and freight rail tenants; and

Whereas, local transportation improvement projects are required to be included in a Regional Transportation Plan (Plan), and the Metropolitan Transportation Commission, working closely with local agencies is charged with developing the Plan every four years to provide guidance for transportation investments within the Bay Area and with development of regional transportation strategies to address the needs of the San Francisco Bay Area; and

Whereas, on December 19, 2001, MTC adopted the Regional Transit Expansion Program of Projects (Resolution 3434) which includes the Transbay Transit Center Phase 2 Downtown Extension and Caltrain Electrification projects as regional priorities for transit expansion; and

Whereas, the Sustainable Communities and Climate Protection Act of 2008 (SB 375, Steinberg, Statutes of 2008) requires the Plan to include a Sustainable Communities Strategy (SCS), showing evidence of integrated planning, goals that establish and strengthen the crucial linkages between the economy, land use development and the regional transportation system to improve access to jobs, education, healthcare, and other amenities in ways that improve the overall quality of life in the Bay Area and the blended system on the Peninsula corridor in the California High-Speed Rail program are consistent with achieving SB 375 goals to reduce greenhouse gas emissions; and

Whereas, all Parties are involved in the planning, funding, construction and/or operation of heavy and light rail transit, buses, and/or commuter train services in the Peninsula corridor and are considering intermodal service integration, including linkages to the proposed HST service; and

Whereas, it is the intent and purpose of this MOU to strengthen the working relationship between the PARTIES to facilitate the development and implementation of passenger rail improvements that will improve local passenger rail service and operations while preparing

designated HST corridors for eventual HST operation to achieve region wide systems integration of rail service in Northern California; and

Whereas, local transportation improvement projects are required to be environmentally evaluated according to CEQA and NEPA regulations and where necessary, existing environmental approval covering incremental improvements to the Peninsula corridor will be updated to reflect evolving local and regional conditions and concerns; and

Whereas, incremental improvements and the blended system project will be planned, designed and constructed in a way that supports local land use and Transit Oriented Development policies along the Peninsula corridor; and

Now, THEREFORE, it is mutually understood and agreed to by the PARTIES as follows:

To jointly support and pursue the implementation of a statewide high speed rail system that utilizes a blended system and operational model on the Peninsula corridor and that has it's northern terminus at the Transbay Transit Center in San Francisco as specified in law, and it's southern limit at Mile Post 51.4 at the Tamien Station in San Jose. The blended system will support and benefit operation of both Caltrain and future high speed train service.

To jointly recognize a defined set of Inter-related Program of Projects that are consistent with the AUTHORITY's phased implementation plan, are consistent with a blended system operation of the corridor and achieve objectives that include but are not limited to system capacity and connectivity for Caltrain, HST and freight, public safety, operational efficiency, effectiveness and connectivity.

To generally describe, identify and work to fully fund an Inter-related Program of Projects known as the Corridor Electrification Infrastructure Project, Advanced Signal System (also known as Positive Train Control), the Downtown Extension to the Transbay Transit Center, which is the Proposition 1A designated northern terminus of high-speed rail, new high-speed stations at San Jose Diridon Station and a Millbrae BART/Caltrain Station with a connection to San Francisco International Airport, and a Core Capacity project of needed upgrades to stations, tunnels, bridges, potential passing tracks and other track modifications and rail crossing improvements including improvements and selected grade separations required to accommodate the mixed traffic capacity requirements of high-speed rail service and commuter services.

To recognize that of the set of Inter-related Program of Projects, the most substantial and tangible early-investment benefits will be realized when two essential projects are identified for an Initial Investment Strategy to secure, at the earliest possible date, the benefits of the blended system for the traveling public and an Initial Investment Strategy is needed to provide the groundwork upon which future construction can more readily progress.

To recognize that the two Inter-related projects for Initial Investment Strategy are the Corridor Electrification Infrastructure Project that includes the needed rolling stock to operate revenue

service; and the Advanced Signal System project and to adopt as part of this MOU, the funding plans needed to move as expeditiously as possible toward construction of these two essential projects.

To work toward the implementation of the Initial Investment Strategy to the maximum extent feasible and that the PARTIES shall endeavor to incorporate the Electrification Infrastructure and Advanced Signal System projects into their respective plans and that the AUTHORITY shall reflect this MOU in its Business Plan by December 31, 2012.

That the aforementioned projects will need to be environmentally analyzed and cleared according to CEQA and NEPA guidelines as appropriate, including updating and recirculation of the Caltrain Electrification EA/FEIR completed in 2009.

That the AUTHORITY will endeavor in good faith to secure approval and release of $ 600 million of Proposition 1A funds and $106 million of Proposition 1A "connectivity" funds consistent with the funding plans contained in this MOU as required to complete at the earliest possible date, the Corridor Electrification Infrastructure and Advanced Signal System projects.

That the AUTHORITY will endeavor in good faith to secure approval of Proposition 1A "connectivity" funds for Bay Area project sponsors consistent with and in accordance with the schedule and project expenditure plan approved and as amended by the California Transportation Commission.

That the AUTHORITY will work with funding partners to assist in seeking and releasing the funds necessary to implement the Electrification Infrastructure Project and Advanced Signal System project. Local agencies may provide local funds, real property, or in-kind resources as matching funds where matching funds are required to qualify for grant funds. PARTIES agree to work together to identify the appropriate amounts and types of local resources that may be used to support the completion of the Electrification Infrastructure Project and the Advanced Signal System Project.

That the AUTHORITY and appropriate PARTIES will coordinate to obtain funding using a mutually agreed-upon strategy. In the event that funding for the program is constrained by statute, recession of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the AUTHORITY and the PARTIES shall takes steps notify each other as needed in a timely manner.

Date: March 28, 2012
W.I.: 1512
Referred by: Commission

Attachment B
Resolution No. 4056
Page 1 of 2

FUNDING PLAN

Program Costs and Proposed Funding for Peninsula Corridor Projects: Electrification and Advance Signal System

Program Costs *(in $ millions, year of expenditure)*	
Advance Signal System / Positive Train Control (PTC)	$231
Electrification and Electric Multiple Units (EMUs)	$1,225
Total	**$1,456**

Program Funding *(in $ millions)*	
Source	**Amount**
JPB Contributions	$180
JPB Local - Currently Available	$11
Caltrain PTC	$4
Subtotal Local	***$195***
Prop 1A Connectivity	$106
Prop 1A High Speed Rail Authority	$600
Prop 1B Caltrain	$24
Subtotal State	***$730***
Federal RR Admin. for PTC	$17
Federal Transit Admin prior/current obligations	$43
Federal Transit Admin future obligations	$440
Subtotal Federal	***$500***
MTC Bridge Tolls	$11
BAAQMD Carl Moyer	$20
Subtotal Regional	***$31***
Total	**$1,456**

See Next Page for Notes.

Funding Plan Notes:

1. Caltrain Joint Powers Board (JPB) Local Contribution is $60 million from San Mateo sales tax, $60 million from VTA sales tax, and $60 million from San Francisco ($23 million from sales tax, $37 million from Regional Transportation Improvement Program (RTIP)/local/other). Each agency's contribution, including Proposition 1A Connectivity funds as outlined in Note 2, is contingent upon the $60 million each from the other two JPB partners.
2. Prop 1A Connectivity is $42 million from Caltrain, $26 million from VTA, and $38 million from BART (2nd priority for BART after receipt of $150 million for railcars).
3. Prop 1B Caltrain is $20 million Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA), $4 million State-Local Partnership Program (SLPP).
4. FTA Prior/Current Obligations is $16 million for electrification in prior years, $27 million for EMUs in FY12.
5. FTA Future Obligations is $315 million for electric multiple units (EMUs), $125 million from fixed guideway caps. Funds will be programmed in accordance with MTC Transit Capital Priorities process between approximately FY2012-2013 and FY2022-2023.
6. Bridge Tolls is from Regional Measure 1 (RM1) West Bay Rail Reserve.
7. Bay Area Air Quality Management District (BAAQMD) funds to be confirmed.
8. Assumes that all local sources, Prop 1B PTMISEA, all federal sources, and bridge tolls can be used as match to Prop 1A funds, totaling $726 million in matching funds for $706 million in Prop 1A funds.
9. Other potential future funding sources could be substituted if secured, including federal Transportation Investment Generating Economic Recovery (TIGER) funds (such as current Caltrain application for $44 million), State Interregional Transportation Improvement Program (ITIP) funds, and private financing.

Date: March 28, 2012
W.I.: 1512
Referred by: Commission

Attachment C
Resolution No. 4056
Page 1 of 3

PREPARING THE CALTRAIN CORRIDOR

FOR HIGH – SPEED RAIL:

ELECTRIFICATION AND

ADVANCED SIGNAL SYSTEM PROJECTS

MARCH 2012

Electrification of the peninsula rail corridor is a necessary investment to support a blended Caltrain and high-speed rail system. In the short-term, electrification will bring more commuter service to our region in a quieter and greener way. For the long-term, electrification prepares the corridor to receive the high-speed rail system, which will provide a one-seat ride from downtown San Francisco to Los Angeles.

Project Scope

The electrification infrastructure project includes the installation of traction power facilities, poles and an overhead contact system, and the purchase of electric rolling stock to replace the current diesel trains, known as electric multiple units (EMUs). The project would extend for 52 miles from San Francisco to San Jose.

Short-Term Benefits

Caltrain electrification and use of EMUs will result in the following benefits:

- Faster and more frequent service
- Reduction of air pollutant emissions
- Reduction of noise and vibration

Project Status

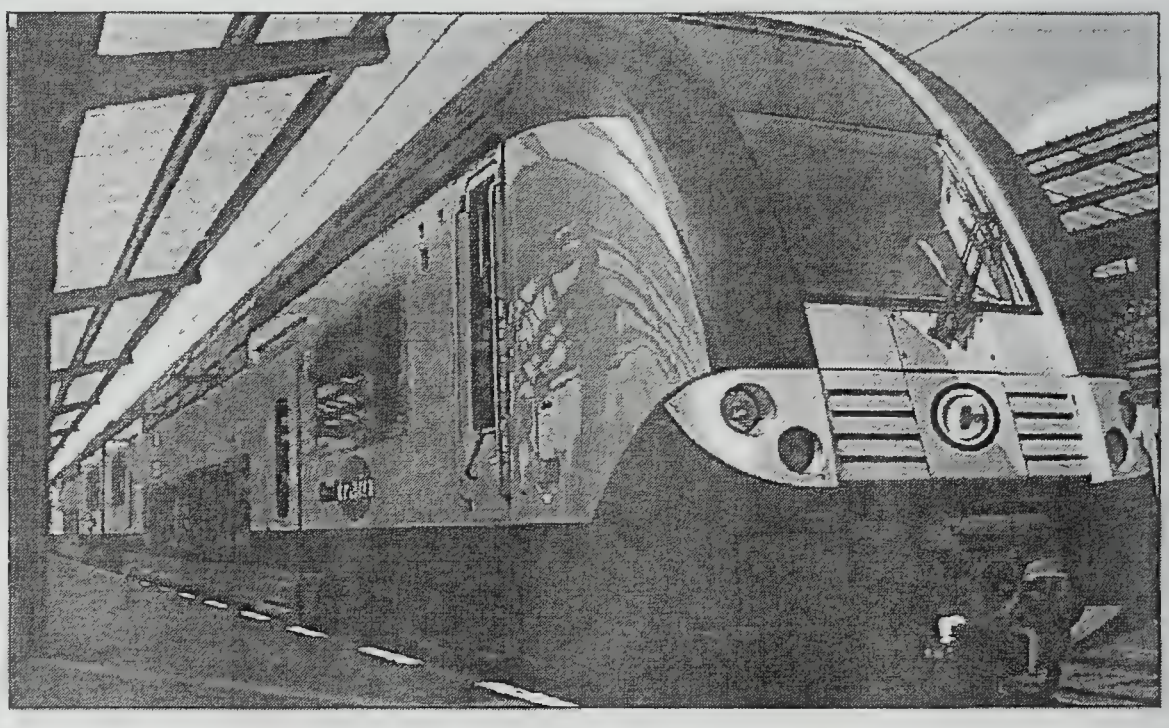
In 2009, 35% design and federal environmental clearance were completed. Board certification of the Environmental Assessment /Final Environmental Impact Report (EA/FEIR) to complete the state environmental process has not yet been obtained. If full funding is secured by Summer 2012, the planned project schedule is:

Project Status and Schedule*

Phase	Start	Complete
Environmental Clearance **	2012	2013
Final Design & Procurement	2013	2015
Construction & Vehicle Testing	2015	2019

* Schedule assumes design-bid-build procurement process.

** Update/recirculation of the Caltrain Electrification project EA/FEIR.



Caltrain EMU Vehicle

ADVANCED SIGNAL SYSTEM

The advancedd signal system is needed to support Caltrain and high-speed rail blended services on the peninsula corridor. The system is called Communications Based Overlay Signal System, also known as Positive Train Control (PTC).

Project Scope

The project serves two purposes. One is to provide enhanced performance attributes to maximize train throughput in the rail corridor. The other is to reduce the risk of train-to-train collisions and prevent trains from exceeding authorized speed limits. The system includes control center upgrades, wayside signals, sensors in the tracks, on-board computers, and connections to global positioning systems. The advancedd signal system meets a federal mandate to achieve PTC by 2015.

Project Benefits

The advanced signal system will:

- Accommodate blended Caltrain and high-speed trains in the peninsula corridor;
- Increase the safety of the current signal system;
- Enable more frequent and dependable passenger service; and
- Improve grade crossing warning functions.

Additionally, it will enable Caltrain to maintain rail operations during construction, and support faster and more efficient construction schedules in a safer work environment. These capabilities will result in significant project cost savings and minimal service disruptions.

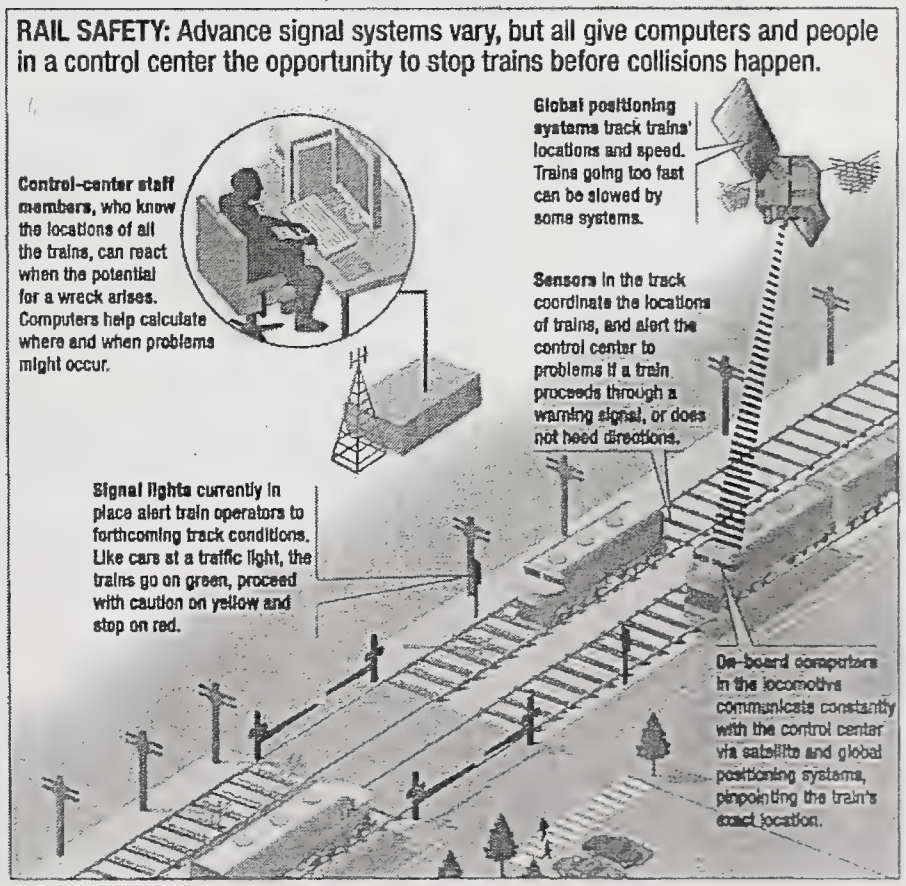
Project Status

If full funding is secured by Summer 2012, the planned project schedule is:

Project Phases and Schedule

Phase	Start	Complete
Planning and Preliminary Design*	January 2008	July 2010
Procurement of DB Contractor	August 2010	December 2011
Hardware & Software Engineering	2012	2013
Construction / Installation	2013	2014
System Testing and Integration	2014	2015
Revenue Service		2015

* Project is exempt from environmental review.



Chris Ramos I The Press-Enterprise

Diagram of how an advancedd signal system works

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APPENDIX A – 20

Regional Policies: Project Funding

Funding Framework for the BART Rail Car Replacement Program (Phases I and II)

MTC Resolution No. 3918

Date: December 15, 2010
W.I.: 1512
Referred By: PAC

ABSTRACT

Resolution No. 3918

This resolution establishes a funding framework for the BART Rail Car Replacement Program (Phases I and II) and a policy-level commitment of approximately $780 million in funding toward the Phase 1 Funding Plan for the project in fiscal years 2011 through 2019.

Further discussion of the BART Rail Car Replacement Program is contained in the Programming and Allocations Summary Sheet dated December 8, 2010.

Date: December 15, 2010
W.I.: 1512
Referred by: PAC

Re: BART Rail Car Replacement Program

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3918

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code 66500 et. seq.; and

WHEREAS, the San Francisco Bay Area Rapid Transit District (BART) is a rapid transit district providing heavy rail transit service in the San Francisco Bay Area; and

WHEREAS, BART wishes to replace 669 rail cars through its Rail Car Replacement Program (PROJECT); and

WHEREAS, BART and MTC wish to establish a funding framework and understanding for the PROJECT; and

WHEREAS, BART and MTC wish to establish a policy-level commitment of funding toward a PHASE 1 FUNDING PLAN in fiscal years 2011 through 2019 in order for BART to award a contract for the PROJECT; and

WHEREAS, BART has approved Resolution No. 5134 regarding the BART Rail Car Replacement Program; and

WHEREAS, MTC previously adopted MTC Resolution No. 3866, the Transit Coordination Implementation Plan, which includes requirements for transit operators participating in the Clipper℠ program (previously the TransLink® Program) to transition certain pre-paid fare media to Clipper℠. Appendix B-3 of Resolution No. 3866 establishes the dates by which BART and the other four participating Clipper℠ operators are expected to transition to Clipper℠-only availability; and

WHEREAS, pursuant to Resolution No. 3866, MTC may, at its discretion, withhold, restrict or re-program funds and allocations to an operator that has not made reasonable efforts to implement the requirements of Appendix B-3; now be it therefore,

RESOLVED, that BART and MTC have agreed to the Principles for Funding Framework BART Car Replacement Program set forth in Attachment A and incorporated herein; and be it further

RESOLVED, that BART and MTC have agreed to and approve the PHASE 1 FUNDING PLAN ASSUMPTIONS set forth in Attachment B-1 and incorporated herein; and be it further

RESOLVED, that BART and MTC have agreed to and approve the PHASE 1 FUNDING PLAN set forth in Attachment B-2 and incorporated herein; and be it further

RESOLVED, that BART and MTC agree that MTC's commitment of funding for the PHASE 1 FUNDING PLAN for the PROJECT is limited to the total amount of MTC Funding shown in the PHASE 1 FUNDING PLAN ; and be it further

RESOLVED, that MTC agrees to program Federal Transit Administration (FTA) and Federal Highway Administration (FHWA) funds as set forth in Attachment B-2, subject to Congressional authorization and appropriation, availability of funds, and other critical regional transit capital needs in a timely manner in order to meet PHASE 1 FUNDING PLAN cash flow needs and minimize financing costs; and be it further

RESOLVED, that MTC may substitute other MTC-controlled funds in place of available FTA and FHWA funds specified in the PHASE 1 FUNDING PLAN; and be it further

RESOLVED, that BART agrees to use the funds as shown in Attachment B-2 to meet the local match requirements of federal funds for the PHASE 1 FUNDING PLAN; and be it further

RESOLVED, that BART agrees to comply with all applicable local, state, and federal requirements for funds programmed by MTC; and be it further

RESOLVED, that BART and MTC agree to work with the Bay Area Partnership to ensure that the PROJECT funding plan will be developed and programmed in agreement with the region's overall approach to the Transit Capital Priorities program; and be it further

RESOLVED, that BART acknowledges that it has received regional funds from MTC to extend the life of some of its current fleet of rail cars so that they will remain in service while the replacement cars are being procured and delivered, and agrees to maintain its current fleet of rail cars so that they will remain in service while the replacement cars are being procured and delivered; and be it further

RESOLVED, that BART agrees that it will not request regional funds from MTC for a rehabilitation of its current fleet of railcars; and be it further

RESOLVED, that MTC may withhold amending annual PHASE 1 FUNDING PLAN funds in the Transportation Improvement Program if the Commission finds that BART is not in compliance with MTC Resolution No. 3866 including Clipper implementation requirements; and be it further

RESOLVED, that BART and MTC will work with the FTA to ensure the federal funds are available to the PROJECT; and be it further

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

This resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on December 15, 2010.

PRINCIPLES FOR FUNDING FRAMEWORK
BART CAR REPLACEMENT PROGRAM

1. Project Definition

The BART Car Replacement Program (PROJECT) consists of replacing 669 A, B, C1 and C2 cars at an estimated cost of $3.2 billion (in escalated dollars). The procurement of additional capacity expansion cars is outside of the scope of these Principles.

The PHASE 1 FUNDING PLAN will address the costs of replacing approximately the first 200 cars at an estimated cost of $1.0 billion (in escalated dollars).

The PHASE 2 FUNDING PLAN will address the costs of replacing approximately the remaining 469 cars at an estimated cost of $2.2 billion (in escalated dollars).

Due to the long term nature of the PROJECT, BART's base contract will be for approximately 200 cars, and there will be options for additional cars. Subject to the availability of funding, BART anticipates exercising the first option in 2017.

2. Background

The funding plan for the PROJECT will be modeled on MTC Resolution 2672, in which MTC entered into an agreement with BART as part of a larger regional framework for transit capital replacement and expansion that provided regional investments to cover 70% of the costs of BART's A-B Car Rehabilitation project.

Transportation 2035, the region's long- range plan that was adopted in April 2009, includes $15.1 billion (in escalated dollars) in projected capital replacement and rehabilitation needs for BART between FY 2009 and FY 2033. The total includes $10.8 billion in Score 16 (the highest priority for funding under the region's Transit Capital Priorities Process and Criteria) needs and $4.3 billion in other needs. The Score 16 needs includes the PROJECT at a cost of $2.7 billion, and Fixed Guideway and other Score 16 needs totaling $8.1 billion.

Transportation 2035 projects that $4.3 billion of Committed Transit Capital Revenues will be available to meet BART's Score 16 needs. Of this total, approximately $0.6 billion is from operating funds that BART is projected to contribute to its capital program.

Transportation 2035 projects $23.1 billion in transit capital revenues for all transit capital needs in the region, including $6.4 billion in Discretionary Revenues. Of the $6.4 billion in

Discretionary Revenues dedicated to Score 16 needs throughout the region, $4.7 billion or 73% is projected to come from anticipated sources that MTC and its transit operator partners will need to identify and secure for transit capital needs.

3. Regional Share of Project Costs
Consistent with Resolution 2672 and Transportation 2035, and in order to meet the PROJECT cost of $3.2 billion, MTC would cover approximately $2.4 billion, or about 75%, of PROJECT costs. This includes projected FTA 5307 and 5309 FG, FHWA STP, Population-based Spillover (or successor programs) and/or other anticipated funding sources included in Transportation 2035, as well as funds that have been programmed to the PROJECT prior to the adoption of Transportation 2035 and projected earnings on the BART Car Replacement Funding Exchange Account.

Assumptions for Regional Share:

- The total cost of the PROJECT is $3.2 billion and includes replacement of 669 cars.
- Major transit capital rehabilitation and replacement needs in the Region can be met as anticipated in the Plan, including 100% of the cost of replacing revenue vehicles and approximately 60% of the cost of replacing and rehabilitating Fixed Guideway and other Score 16 assets.
- The Region will receive $13.5 billion in Committed Revenues, including FTA Section 5307 and 5309 (or their successors) and AB664 bridge tolls, between FY 2009 and FY 2033 as anticipated in Transportation 2035.
- The Region will receive $6.4 billion in Discretionary Revenues, including Anticipated Funds, FHWA STP (or its successor), and Population-based Spillover, between FY 2009 and FY 2033 as anticipated in Transportation 2035.
- The Region's Score 16 transit capital replacement and rehabilitation needs between FY 2009 and FY 2033 will not exceed $28.6 billion as anticipated in Transportation 2035.

Should these assumptions, including the cost of the PROJECT, change substantively over time, the terms of this PROJECT funding framework will be re-examined and an alternate approach will be agreed to by MTC and BART that could include extending the timing of fund commitments, seeking alternate fund sources, or other actions.

4. BART Share of Project Costs
Consistent with Resolution 2672 and Transportation 2035, and in order to meet the PROJECT cost of $3.2 billion, BART will cover approximately $0.8 billion, or about 25%, of PROJECT costs. BART will dedicate $150 million of its High Speed Rail funds to the PROJECT, and BART will either direct future BART-controlled revenue, such as State Transit Assistance Revenue-Based funds, after meeting revenue sharing and coordination expenses, or raise additional funds through General Obligation bonds, parcel taxes, fare increases or other means to help fund its share of PROJECT costs and/or fixed guideway needs.

If necessary, BART can meet this commitment, in whole or in part, by funding a larger share of its fixed guideway capital needs, and reducing the need for regional investments in BART's fixed guideway needs below the level currently projected in Transportation 2035.

5. Funding Commitment Timeframe

The total PROJECT will be funded in two phases as described in Table 1. MTC and BART agree to commit to fully funding the Phase 1 Funding Plan as described in Attachments B-1 and B-2, subject to Congressional authorizations and appropriations and availability of funds.

The funding framework and assumptions for the Phase 2 Funding Plan, including BART and MTC shares, will be reconfirmed in the next regional transportation plan, currently planned for adoption in 2013.

A firm funding commitment for the Phase 2 Funding Plan should be established by 2015, in advance of BART's anticipated exercise of the first contract option in 2016.

Table 1. BART Car Replacement Project Preliminary Funding Plan
$ millions, escalated

	No. of cars	Cost Estimate		Proposed Approximate Funding Participation		Proposed Approximate % Shares	
		T2035	Current*	Regional	BART	Regional %	BART %
Total Project	669	$2,697	$3,222	$2,416	$805	75%	25%
Phase 1	200		$1,026	$871	$155	85%	15%
Phase 2+	469		$2,196	$1,545	$651	70%	30%

* Current cost estimate for Total Project derived from BART's current estimate for 700 cars of $3,371 million by prorating (669/700).

PHASE 1 FUNDING PLAN ASSUMPTIONS

Background and Prior Actions
BART expects the first phase of the funding plan (PHASE 1 FUNDING PLAN) for the PROJECT to pay for approximately 200 rail cars. BART currently estimates the escalated cost of the PHASE 1 FUNDING PLAN for the PROJECT to be approximately $1 billion over the period fiscal years 2008 through 2023.

Pursuant to MTC Resolution No. 3738, Revised, MTC has previously approved approximately $90.7 million in Surface Transportation Program funds (STP) in Fiscal Years 2006, 2007, 2008 and 2009 which have been the subject of a fund exchange and placed in the BART Car Replacement Funding Exchange Account to be used for the PROJECT.

Pursuant to MTC Resolution No. 3854, Revised, MTC has previously programmed approximately $12.6 million in Federal Transit Administration (FTA) Fixed Guideway Modernization Program funds for the PROJECT in FY 2009.

BART has previously provided $4.6 million in funding for pre-construction activities for the PROJECT.

10-Year Regional Capital Improvement Program (CIP)
MTC will participate in the PHASE 1 FUNDING PLAN for the PROJECT by programming funding in fiscal years 2011 through 2019.

In 2009, MTC completed a ten-year Regional Capital Improvement Program (CIP) for the period FY2010 through 2019, including projections of Score 16 transit capital needs based on data from the Regional Transit Capital Inventory and transit capital revenues based on the revenue projections included in Transportation 2035.

The CIP identified Score 16 capped transit needs of $4.1 billion for all Bay Area transit operators, and assumed $4.1 billion in federal formula transit and highway funds would be available toward all Bay Area transit capital replacement and rehabilitation needs over the ten-year period.

Phase 1 Funding Plan Assumptions
The CIP assumed approximately $730 Million in FTA formula funding toward the PHASE 1 FUNDING PLAN between FY 2010 and FY 2019.

The PHASE 1 FUNDING PLAN assumes that any FTA programming not needed for direct project expenditures in the year of programming will be exchanged for BART funds, which will be deposited in the BART Car Replacement Funding Exchange Account (as with the STP funds).

The PHASE 1 FUNDING PLAN assumes that a combination of earnings credited to the BART Car Replacement Funding Exchange Account and, if earnings are insufficient, additional programming of STP or other funding sources will provide $50 million for the PHASE 1 FUNDING PLAN.

The PHASE 1 FUNDING PLAN assumes that state High Speed Rail Connectivity funds will be available to BART to meet their $150 million contribution between FY 2011 and FY 2017.

Date: December 15, 2010
W.I.: 1512
Referred by: PAC

Attachment B-2
Resolution No. 3918
Page 1 of 1

PHASE 1 FUNDING PLAN FOR BART CAR REPLACEMENT PROGRAM

$000

Funding Source	Prior to FY10	FY10 - FY19	Total
MTC Funding			
FTA Formula Programs	12,565	717,435	730,000
FHWA Regional Discretionary Programs*	90,726	50,274	141,000
Subtotal MTC Funding	103,291	767,709	871,000
BART Funding			
BART High Speed Rail Funds		150,000	150,000
Other BART Funds	4,600		4,600
Subtotal BART Funding	4,600	150,000	154,600
Total Funding	107,891	917,709	1,025,600

* Funding from FHWA Regional Discretionary Programs includes BART funds deposited and earnings credited to the BART Car Replacement Funding Exchange Account.

APPENDIX A – 21

Regional Policies: Project Funding

MTC's Lifeline Transportation Program Guidelines and Funding for FY 2010-11 through FY 2012-13

MTC Resolution No. 4033

Date: December 21, 2011
W.I.: 1311
Referred by: PAC
Revised: 03/28/12-ED
10/23/13-C

ABSTRACT

Resolution No. 4033, Revised

This Resolution adopts the Third Cycle Lifeline Transportation Program Guidelines and Fund Estimate.

The following attachment is provided with this Resolution:

Attachment A — Third Cycle Lifeline Transportation Program Guidelines and Funding FY2010-11 through FY2012-13

This resolution was revised on March 28, 2012, under Executive Director Administrative Authority, to make minor changes to the FY2011-12 and FY2012-13 Job Access and Reverse Commute (JARC) programming targets in Attachment A to reflect the actual partial-year FY2011-12 JARC funding apportionments.

This resolution was revised on October 23, 2013 to make minor changes to the State Transit Assistance (STA) programming targets in Attachment A to reflect the actual FY2011-12 and FY2012-13 STA revenues; to make minor changes to the JARC programming targets in Attachment A to reflect the final FY2011-12 JARC and FY2012-13 Section 5307 funding apportionments and to reflect changes to the JARC program that resulted from the Moving Ahead for Progress in the 21st Century (MAP-21) federal transportation authorizing legislation; and to extend the obligation deadline for the Surface Transportation Program (STP)/Congestion Mitigation and Air Quality (CMAQ) funds for certain project types.

Further discussion of the Lifeline Program Guidelines is provided in the Programming and Allocations Committee Summary sheets dated December 14, 2011 and October 9, 2013.

Date: December 21, 2011
W.I.: 1311
Referred by: PAC

RE: Third Cycle Lifeline Transportation Program Guidelines and Fund Estimate

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4033

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC adopted Resolution 3814, which directed Proposition 1B funds to the Lifeline Transportation Program; and

WHEREAS, MTC adopted Resolution 3837, which established a consolidated policy for State Transit Assistance (STA) – population-based funds, including a set percentage to the Lifeline Transportation Program; and

WHEREAS, MTC is the designated recipient for federal Job Access Reverse Commute (JARC) funds and has incorporated these funds into the Lifeline Transportation Program; and

WHEREAS, MTC is the designated recipient for regional Surface Transportation Program (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) funds for the San Francisco Bay Area and has incorporated or will incorporate certain STP and/or CMAQ funds into the Lifeline Transportation Program; and

WHEREAS, MTC has conducted a program evaluation of the Lifeline Transportation Program and has made revisions to the program based on evaluation results; and

WHEREAS, MTC will use the process and criteria set forth in Attachment A of this Resolution to fund a program of projects for the third-cycle of the Lifeline Transportation Program; now, therefore be it

RESOLVED, that MTC approves the program guidelines to be used in the administration and selection of the Third Cycle of Lifeline Transportation projects, as set forth in Attachment A of this Resolution; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to modify the programming targets in Attachment A if the final Lifeline funding apportionments differ from the estimated amounts; and be it further

RESOLVED, that the Executive Director of MTC shall forward a copy of this Resolution, and such other information as may be required, to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above Resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California on December 21, 2011.

Date: December 21, 2011
W.I.: 1311
Referred by: PAC
Revised: 03/28/12-ED
10/23/13-C

Attachment A
MTC Resolution No. 4033
Page 1 of 16

Third Cycle Lifeline Transportation Program Guidelines and Funding
FY 2011 through FY 2013

Program Goals: The Lifeline Transportation Program is intended to fund projects that result in improved mobility for low-income residents of the nine San Francisco Bay Area counties, and are expected to carry out the following regional Lifeline Program goals:

The Lifeline Program supports community-based transportation projects that:

- Are developed through a collaborative and inclusive planning process that includes broad partnerships among a variety of stakeholders such as public agencies, transit operators, community-based organizations and other community stakeholders, and outreach to underrepresented stakeholders.
- Improve a range of transportation choices by adding a variety of new or expanded services including but not limited to: enhanced fixed route transit services, shuttles, children's programs, taxi voucher programs, improved access to autos, and capital improvement projects.
- Address transportation gaps and/or barriers identified in Community-Based Transportation Plans (CBTP) or other substantive local planning efforts involving focused outreach to low-income populations. While preference will be given to community-based plan priorities, strategies emerging from countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need within the designated communities of concern will also be considered. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable.
- Transportation needs specific to elderly and disabled residents of low-income communities may also be considered when funding projects. Existing transportation services may also be eligible for funding.

Program Administration: The Lifeline Program will be administered by county congestion management agencies (CMAs) or other designated county-wide agencies as follows:

County	Lifeline Program Administrator
Alameda	Alameda County Transportation Commission
Contra Costa	Contra Costa Transportation Authority
Marin	Transportation Authority of Marin
Napa	Napa County Transportation Planning Agency
San Francisco	San Francisco County Transportation Authority
San Mateo	City/County Association of Governments
Santa Clara	Santa Clara Valley Transportation Authority and Santa Clara County
Solano	Solano Transportation Authority
Sonoma	Sonoma County Transportation Authority

Lifeline Program Administrators are responsible for soliciting applications for the Lifeline Program. This requires a full commitment to a broad, inclusive public involvement process and using multiple methods of public outreach. Methods of public outreach include, but are not limited to highlighting the program and application solicitation on the CMA website; sending targeted postcards and e-mails to local community-based organizations, city departments, and non-profit organizations (particularly those that have previously participated in local planning processes); and contacting local elected officials and their staffs. Further guidance for public involvement is contained in MTC's Public Participation Plan.

For the selection of projects involving federal funds, Lifeline Program Administrators must also consider fair and equitable solicitation and selection of project candidates in accordance with federal Title VI requirements, i.e. funds must be distributed without regard to race, color, and national origin.

Fund Availability: Fund sources for the Third Cycle Lifeline Program (FY2010-2011 to FY2012-2013) include State Transit Assistance (STA), Proposition 1B - Transit funds, Job Access and Reverse Commute (JARC)[1], and Surface Transportation Program (STP), as shown in Table A. Note that MTC may apply Congestion Mitigation and Air Quality Improvement (CMAQ) funds instead of STP to CMAQ-eligible projects, and references throughout these guidelines to "STP" should be considered as "STP or CMAQ". Funding for STA, JARC[2], and STP will be assigned to counties by each fund source, based on the county's share of the regional poverty population consistent with the estimated distribution outlined in Table B. Note that the county shares were updated using 2010 census data which resulted in some shifts compared to

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[1] The Moving Ahead for Progress in the 21st Century (MAP-21) federal transportation authorizing legislation eliminated the JARC program (Section 5316) and combined JARC functions and funding with the Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were made eligible for 5307 funding, and, consistent with MTC's Transit Capital Priorities (TCP) Process and Criteria (MTC Resolution No. 4072), in the FY2012-13 Section 5307 program, approximately $3.0 million of the Bay Area's large urbanized area funds were set aside for the Lifeline program (approximately $2.8 million for the FY2013 program and $200,000 for the FY2012 shortfall).

[2] Consistent with federal JARC guidance, MTC planned to set aside up to five percent of the region's FY11, FY12 and FY13 JARC apportionments to fund administration, planning and technical assistance. After that plan was approved in the third cycle program guidelines, the JARC program was merged with the Section 5307 program under MAP-21. According to MAP-21 MTC cannot set aside Section 5307 funds for administration; therefore, an amount equal to five percent of the anticipated FY13 Section 5307 apportionment was set aside out of the FY11 & FY12 JARC apportionments, leaving 100 percent of the Section 5307 JARC funds for projects.

previous Lifeline cycles. Lifeline Program Administrators will assign funds to eligible projects in their counties based on a competitive process to be conducted by the Lifeline Program Administrators in each county. Proposition 1B funding will be assigned by MTC directly to transit operators and counties based on a formula that distributes half of the funds according to the transit operators' share of the regional low-income ridership and half of the funds according to the transit operators' share of the regional low-income population. The formula distribution is shown in Table C. All funded projects must meet the eligibility requirements of the respective funding source. See Appendix 1 for detailed eligibility requirements by fund source.

MTC will set aside up to $1 million in STA funds toward the development and implementation of a regional means-based discount. In Phase 1 of the means-based discount project, MTC will develop the regional concept, including identifying who is eligible, costs, funding, relationship to other discounts, etc. MTC will convene a regional Technical Advisory Committee to assist with scope development and project oversight. Depending on the results of Phase 1, any remaining funds from the $1 million set-aside will be used for implementation activities.

Multi-Year Programming: The Third Cycle Lifeline Transportation Program will cover a three-year programming cycle, FY2010-2011 to FY2012-2013.

Competitive Process: Projects must be selected through an open, competitive process with the following exceptions:

(1) In an effort to address the sustainability of fixed-route transit operations, Lifeline Program Administrators may elect to allocate some or all of their STA funds directly to transit operators for Lifeline transit operations within the county. Projects must be identified as Lifeline projects before transit operators can claim funds, and will be subject to Lifeline Program reporting requirements.

(2) In most cases, Proposition 1B Transit funds will be allocated directly to transit operators by MTC, due to the limited eligibility and uses of this fund source. Upon concurrence from the applicable governing board of the CMA, transit operators may program funds to any capital project that is consistent with the Lifeline Program and goals, and is eligible for this fund source. Transit operators are encouraged to consider needs throughout their service area. Projects must be identified as Lifeline projects before transit operators can claim funds, and, at the discretion of the Lifeline Program Administrators, may be subject to Lifeline Program reporting requirements. For Solano and Sonoma counties, Proposition 1B funds are being directed to the CMA, who should include these funds in the overall Lifeline programming effort (keeping in mind the limited sponsor and project eligibility of Proposition 1B funds).

Other exceptions may be considered by MTC on a case-by-case basis but must meet the guidelines/restrictions of the applicable fund sources. LPAs should contact MTC staff as early as possible for any exception requests.

Grant Application: To ensure a streamlined application process for project sponsors, a universal application form (or standard format and content for project proposals) will be used, but, with

review and approval from MTC, may be modified as appropriate by the Lifeline Program Administrator for inclusion of county-specific grant requirements.

Applicants with multi-county projects must notify the relevant Lifeline Program Administrators and MTC about their intent to submit a multi-county project, and submit copies of their application to all of the relevant counties. If the counties have different application forms, the applicant can submit the same form to all counties, but should contact the Lifeline Program Administrators to determine the appropriate form. If the counties have different application deadlines, the applicant should adhere to the earliest deadline. The Lifeline Program Administrators will work together to score and rank the multi-county projects, and, if selected, to determine appropriate funding. (Note: Multi-county operators with projects that are located in a single county need only apply to the county where the project is located.)

Program Match: The Lifeline Program requires a minimum local match of 20% of the total project cost; new Lifeline Transportation Program funds may cover a maximum of 80% of the total project cost.

There are two exceptions to the 20% match requirement:

(1) JARC operating projects require a 50% match. However, consistent with MTC's approach in previous funding cycles, Lifeline Program Administrators may use STA funds to cover the 30% difference for projects that are eligible for **both** JARC and STA funds.

(2) All auto-related projects require a 50% match.

Project sponsors may use certain federal or local funding sources (Transportation Development Act, operator controlled State Transit Assistance, local sales tax revenue, etc.) to meet the match requirement. The match may include a non-cash component such as donations, volunteer services, or in-kind contributions as long as the value of each is documented and supported, represents a cost that would otherwise be eligible under the program, and is included in the net project costs in the project budget.

For JARC projects, the local match can be *non*-Department of Transportation (DOT) federal funds. Eligible sources of non-DOT federal funds include: Temporary Assistance to Needy Families (TANF), Community Services Block Grants (CSBG) and Social Services Block Grants (SSBG) administered by the US Department of Health and Human Services or Community Development Block grants (CDBG) and HOPE VI grants administered by the US Department of Housing and Urban Development (HUD). Grant funds from private foundations may also be used to meet the match requirement.

Eligible Projects: Per the requirements set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), projects selected for funding under the JARC program must be "derived from a locally developed, coordinated public transit-human services transportation plan", and the plan must be "developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public." A locally developed, coordinated, public

transit-human services transportation plan ("coordinated plan") identified the transportation needs of individuals with disabilities, older adults, and people with low incomes, and provides strategies for meeting those local needs. The Bay Area's Coordinated Plan was adopted in December 2007 and is available at http://www.mtc.ca.gov/planning/pths/. The plan includes a low-income component and an elderly and disabled component.

Eligible operating projects, consistent with requirements of funding sources, may include (but are not limited to) new or enhanced fixed route transit services, restoration of lifeline-related transit services eliminated due to budget shortfalls, shuttles, children's transportation programs, taxi voucher programs, improved access to autos, etc. See Appendix 1 for additional details about eligibility by funding source.

Eligible capital projects, consistent with requirements of funding sources, include (but are not limited to) purchase of vehicles; bus stop enhancements, including the provision of bus shelters, benches, lighting or sidewalk improvements at or near transit stops; rehabilitation, safety or modernization improvements; or other enhancements to improve transportation access for residents of low-income communities. See Appendix 1 for additional details about eligibility by funding source.

Eligible planning projects, consistent with requirements of funding sources, include (but are not limited to) planning assistance for updating Community-Based Transportation Plans (CBTP), consolidated transportation services planning, and bicycle and pedestrian planning projects. CBTP updates are eligible for STP funding provided the following conditions are met: 1) All of the previously identified CBTPs in the county have been completed[3]; 2) The county has identified a lead agency to update the status of existing plans, needs, and projects, and to track implementation of projects over time; 3) A county-led process involving multiple stakeholders has established a way to set priorities for plan updates within the county (e.g., oldest first, largest populations, highest percentage of implemented projects); 4) Communities getting plan updates must be identified as Communities of Concern (CoCs) as part of the Plan Bay Area process to have priority, but countywide updates will be considered in counties with either no CoCs or with more than two-thirds of the county low-income population residing outside designated CoCs. Counties may decide whether and/or how to prioritize CBTP updates over other eligible uses such as bicycle and pedestrian projects. See Appendix 1 for additional details about eligibility by funding source.

Transportation needs specific to elderly and disabled residents of low-income communities may also be considered when funding Lifeline projects.

Project Selection/Draft Program of Projects: MTC is the designated recipient for the Bay Area's large Urbanized Area (UA) funding apportionment of JARC funds. Caltrans is the designated recipient for California's small and non-UA funding apportionment of JARC funds. As the designated recipient, MTC is responsible for ensuring a competitive selection process to determine which projects should receive funding. For the large UA apportionment, the

[3] Because funding has been available for completing the region's remaining CBTPs since 2008, counties who have not completed all of their existing plans will not be eligible for any plan update funds. MTC's expectation is that all CBTPs will be complete by the end of this cycle.

competitive selection is conducted on a county-wide basis. For the small and non-UA apportionment, the competitive selection is conducted by Caltrans.

For the MTC process, standard evaluation criteria will be used to assess and select projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority, (3) implementation plan and project management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability.[4] Lifeline Program Administrators may establish the weight to be assigned for each criterion in the assessment process.

Additional criteria may be added to a county program but should not replace or supplant the regional criteria. MTC staff will review the proposed county program criteria to ensure consistency and to facilitate coordination among county programs.

Each county will appoint a local review team of CMA staff, the local low-income or minority representative from MTC's Policy Advisory Council, and representatives of local stakeholders, such as, transit operators, other transportation providers, community-based organizations, social service agencies, and local jurisdictions, to score and select projects. Counties are strongly encouraged to appoint a diverse group of stakeholders for their local review team. Each county will assign local priorities for project selection.

In funding projects, preference will be given to strategies emerging from local CBTP processes or other substantive local planning efforts involving focused outreach to low-income populations. Projects included in countywide regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need within the designated communities of concern will also be considered. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. Regional Lifeline funds should not supplant or replace existing sources of funds.

A full program of projects is due to MTC from each Lifeline Program Administrator on May 15, 2012. However, with state and federal funding uncertainties, sponsors with projects selected for FY2013 JARC funds should plan to defer the start of those projects until the funding is appropriated and secured. Lifeline Program Administrators, at their discretion, may opt to prioritize high scoring projects with FY2011 and FY2012 funds. MTC staff will work with Lifeline Program Administrators on this sequencing; more will be known about the FY2013 funds near the end of calendar year 2012.

Project Delivery: All projects funded under the county programs are subject to MTC obligation deadlines and project delivery requirements. STP funds are subject to all of the delivery requirements in MTC Res. 3606. All projects will be subject to a "use it or lose it" policy. Beginning this cycle, MTC is adding a project delivery requirement that project sponsors must

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[4] For future cycles of the Lifeline Transportation Program, transit operations projects will need to be consistent with recommendations stemming from MTC's Transit Sustainability Project. See http://www.mtc.ca.gov/planning/tsp/

expend the Lifeline Transportation funds within three years of the grant award or execution of subrecipient agreement with MTC, whichever is applicable.

Policy Board Adoption: Prior to the programming of funds to any project, MTC requires that the project sponsor adopt and submit a resolution of local support. Projects recommended for STA, JARC and STP funding must be submitted to and approved by the respective governing board of the Lifeline Program Administrator. Projects funded with Proposition 1B Transit funds must have concurrence from the applicable CMA; furthermore, Caltrans requires that Proposition 1B - Transit projects either be consistent with the project sponsor's most recent short-range transit plan (SRTP), as evidenced by attaching the relevant SRTP page to the allocation request, or be accompanied by a certified Board Resolution from the project sponsor's governing board. For all funds, the appropriate governing board shall resolve that approved projects not only exemplify Lifeline Program goals, but that the local project sponsors understand and agree to meeting all project delivery, funding match and eligibility requirements, and obligation and reporting deadlines and requirements.

Project Oversight: For Lifeline projects funded by STA, JARC, and STP, Lifeline Program Administrators are responsible for programmatic and fiscal oversight, and for ensuring projects meet MTC obligation deadlines and project delivery requirements. In addition, Lifeline Program Administrators will ensure that projects substantially carry out the scope described in the grant applications for the period of performance, and are responsible for approving reimbursement requests, budget changes, and scope of work changes, prior to MTC's authorization. All scope changes must be fully explained and must demonstrate consistency with Lifeline Program goals. Any changes to JARC or STP funded projects must be reported to MTC and reconciled with FTA (or FHWA, as applicable for STP funds).

For projects funded by Proposition 1B, the Lifeline Program Administrators are encouraged to continue coordination efforts with the project sponsors if they feel that it would be beneficial toward meeting the Lifeline goals; however, this may not be necessary or beneficial for all Proposition 1B projects.

See appendix 1 for detailed accountability and reporting requirements by funding source.

As part of the Call for Projects, applicants will be asked to establish project goals, and to identify basic performance indicators to be collected in order to measure the effectiveness of the Lifeline projects. At a minimum, performance measures for service-related projects would include: documentation of new "units" of service provided with the funding (e.g., number of trips, service hours, workshops held, car loans provided), cost per unit of service, and a qualitative summary of service delivery procedures employed for the project. For capital projects, project sponsors are responsible for establishing milestones and reporting on the status of project delivery. For planning projects, project sponsors are responsible for establishing a schedule of deliverables related to the project. Project sponsors are responsible for satisfying all reporting requirements, as referenced in Appendix 1. Lifeline Program Administrators will forward all reports containing performance measures to MTC for review and overall monitoring of the Lifeline Transportation Program.

Fund Administration:

For projects receiving JARC Funds: MTC will enter all projects into the Transportation Improvement Program (TIP). For projects sponsored by non-Federal Transit Administration (FTA) grantees, e.g., nonprofits or other local government entities, MTC will enter projects into MTC's FTA grant planned to be submitted in fall 2012. Following FTA approval of the grant, MTC will enter into funding agreements with subrecipients. Transit operators who are FTA grantees will act as direct recipients, and will submit grant applications to FTA directly. MTC reserves the right to reprogram funds if direct recipients fail to obligate the funds through grant submittal and FTA approval within 12 months of program approval. See Appendix 2 for federal compliance requirements.

For projects receiving STA funds: For transit operators receiving STA funds, MTC will allocate funds directly through the annual STA claims process. For other STA eligible projects administered by sponsors who are not STA eligible recipients, the project sponsor is responsible for identifying a local transit operator who will act as a pass-through for the STA funds, and will likely seek to enter into a funding agreement directly with the project sponsor.

For projects receiving Proposition 1B Transit Funds: Project sponsors receiving Proposition 1B funds must submit a Proposition 1B application to MTC for submittal to Caltrans with prior review by MTC. The estimated due date to Caltrans is June 1, 2012. The state will distribute funds directly to the project sponsor. Note that although the Proposition 1B Transit Program is intended to be an advance-payment program, actual disbursement of funds is dependent on the State budget and State bond sales.

For projects receiving STP funds: Projects must comply with the provisions of the Cycle 2 STP/CMAQ programming guidelines and program adoption, and project sponsors must submit a Local Resolution of Support (template located on MTC's Website at: http://www.mtc.ca.gov/funding/STPCMAQ/) meet all of the delivery requirements in MTC Resolution 3606 (located on MTC's Website at: http://www.mtc.ca.gov/funding/delivery/) and STP funds must be obligated by the Federal Highway Administration (FHWA) or transferred to FTA by April 30, 2014. Furthermore, the following provisions apply accordingly:

- Transit operators who are FTA grantees will act as direct recipients, and will enter projects into the TIP, request FHWA transfers through Caltrans and submit grant applications to FTA directly. MTC reserves the right to reprogram funds if direct recipients fail to obligate the funds through grant submittal and FTA approval within 18 months of MTC approval of the project.
- For non-FTA grantees with transit projects, the CMA (or appropriate agency) will enter projects into the TIP, request a transfer of funds from FHWA to FTA, and include the projects into an FTA grant for submittal in spring 2013. Following FTA approval of the grant, the CMA or appropriate agency will execute funding agreements with the implementing entity.
- Local non-transit agencies with non-transit projects (e.g., planning, bicycle, and pedestrian projects) will receive the funding directly, and will enter projects into the TIP and submit obligation/authorization requests through Caltrans to FHWA. (See Appendix 2 for federal compliance requirements.)

Timeline Summary

Program	Action	Date
JARC/STA/STP	MTC issues guidelines to counties	December 21, 2011
Prop 1B	Transit operators submit draft project lists to CMAs	February 15, 2012
Prop 1B	Allocation requests due to MTC (concurrence from the CMA is required)	April 11, 2012
Prop 1B	MTC & transit operators submit TIP amendments	End of April – Deadline TBD
Prop 1B	**Commission approval of Prop 1B projects**	**May 23, 2012**
Prop 1B	MTC submits FY11 request to Caltrans	June 1, 2012
JARC/STA/STP	Board-approved programs due to MTC from CMAs	May 15, 2012
JARC/STA/STP	MTC and transit operators submit TIP Amendments	June/July 2012 – Deadline TBD
JARC/STA/STP	**Commission approval of Program of Projects**	**June 27, 2012**
STA	Operators can file claims for FY12 and FY13	After Commission Approval
JARC	MTC and transit operators submit FTA grants with FY11 and FY12 JARC projects	November/December 2012 (following TIP approval)
JARC	FY11 and FY12 JARC-funded project sponsors enter into funding agreements	January/February 2013 (following FTA grant approval)
JARC/STP	MTC confirms availability of FY13 funds; MTC and transit operators submit TIP Amendments for FY13 projects	Winter/Spring 2013 (est.)
JARC/STP	MTC and transit operators submit FTA grant or FHWA obligation request with FY13 projects	Spring/Summer 2013 (following TIP approval)
JARC/STP	FY13 project sponsors enter into funding agreements (if applicable)	Summer/Fall 2013 (following FTA grant approval)
STP	Deadline for STP funds to be obligated or transferred to FTA	April 30, 2014 (for FTA transfers); February 1, 2015 (for FHWA projects)

Table A – Lifeline Transportation Program
Third Cycle Funding
FY2010-11 through FY2012-13

Fund Source	FY2011 Actual	FY2012 Actual	FY2013 Actual	Interest (FY12 & FY13) and Pre-FY12 Carryover	Total
STA[1]	(Programmed in Cycle 2)	$ 11,141,643	$ 11,690,066	$ 414,405	$ 23,246,114
Prop 1B[2]	$ 46,519,967	-	-	-	$ 46,519,967
JARC[3,5]	$ 2,562,648	$ 2,587,125	$ 2,986,455	-	$ 8,136,228
STP[4]	$ -	$ -	$ 8,971,587	-	$ 8,971,587
Total	**$ 49,082,615**	**$ 13,728,768**	**$ 23,648,108**	**$ 414,405**	**$ 86,873,896**

Notes:

(1) FY2011 STA Funds were programmed in Cycle 2. The FY2012 and FY2013 amounts were revised in October 2013 to reflect actual revenues, and to add interest and carryover funds.

(2) FY2011 Prop 1B appropriations represent three years of funding.

(3) Consistent with federal JARC guidance, MTC may set aside five percent of the region's FY11, FY12 and FY13 apportionment to fund administration, planning and technical assistance. Amounts shown here are prior to any MTC set-aside.

(4) STP funds are available to the Lifeline Program starting in FY13, as part of MTC's "Resolution 3814 payback" being implemented in the 2nd cycle STP/CMAQ program (proposed One Bay Area Grants). Note that MTC may apply Congestion Mitigation and Air Quality Improvement (CMAQ) funds instead of STP to CMAQ-eligible projects, and references to "STP" should be considered as "STP or CMAQ."

(5) FY2011, FY2012 & FY2013 JARC amounts were revised in October 2013 to reflect actual FY2012 JARC & FY2013 Section 5307 apportionments and changes to the JARC program that resulted from MAP-21.

10/23/2013

Table B – Estimated Funding Target by Fund Source per County

County & Share of Regional Low Income Population		FY2011		FY2012		FY2013			FY12 & FY13 Interest and Pre-FY12 Carryover	Total
		STA[1]	JARC[2]	STA	JARC[2,4]	STA	JARC[2,4]	STP[3]	STA	
Alameda	23.7%		666,180	2,532,547	669,919	2,651,964	841,288	2,130,539	96,073	9,588,510
Contra Costa	13.4%		376,246	1,430,339	378,358	1,497,784	475,145	1,203,291	47,030	5,408,193
Marin	2.6%		73,082	277,830	73,493	290,930	92,292	233,728	3,402	1,044,757
Napa	2.2%		-	233,928	-	244,958	-	196,794	6,662	682,342
San Francisco	13.1%		367,433	1,396,833	369,495	1,462,699	464,014	1,175,104	98,088	5,333,666
San Mateo	7.6%		212,576	808,127	213,769	846,233	268,452	679,848	26,435	3,055,440
Santa Clara	23.7%		545,116	2,529,501	548,173	2,648,775	688,400	2,127,977	88,647	9,176,589
Solano	5.8%		-	619,744	-	648,967	-	521,368	21,173	1,811,252
Sonoma	7.8%		124,214	835,576	124,909	874,976	156,864	702,937	26,893	2,846,369
MTC - Means-Based Discount Project			-	477,218	-	522,780	-	-	2	1,000,000
MTC - Admin, Planning, Technical Assistance[2]			197,802	-	209,009	-	-	-	-	406,811
Total	100.0%		2,562,649	11,141,643	2,587,125	11,690,066	2,986,455	8,971,587	414,405	40,353,930

(1) FY2011 STA Funds were programmed in Cycle 2

(2) Consistent with federal JARC guidance, MTC planned to set aside up to five percent of the region's FY11, FY12 and FY13 JARC apportionments to fund administration, planning and technical assistance. After that plan was approved in the third cycle program guidelines, the JARC program was merged with the Section 5307 program under MAP-21. According to MAP-21, MTC cannot set aside Section 5307 funds for administration; therefore, an amount equal to five percent of the anticipated FY13 apportionment was set aside out of the FY11 & FY12 JARC apportionments, leaving 100 percent of the FY13 Section 5307 JARC funds for projects.

(3) STP funds are available to the Lifeline Program starting in FY13, as part of MTC's "Resolution 3814 payback" being implemented in the 2nd cycle STP/CMAQ program (proposed One Bay Area Grants). Note that MTC may apply Congestion Mitigation and Air Quality Improvement (CMAQ) funds instead of STP to CMAQ-eligible projects, and references to "STP" should be considered as "STP or CMAQ."

(4) FY2011, FY2012 & FY2013 JARC amounts were revised in October 2013 to reflect actual FY2012 JARC & FY2013 Section 5307 apportionments and changes to the JARC program that resulted from MAP-21.

10/23/2013

Table C – Estimated Funding Target for Proposition 1B Transit Funds per Transit Operator and County

Transit Operator & Hybrid Formula (Share of Regional Low Income Ridership & Share of Regional Low Income Population)[2]		Prop 1B[1]			Total
		FY2011	FY2012	FY2013	
AC Transit	18.1%	8,403,487	-	-	8,403,487
BART	17.6%	8,173,010	-	-	8,173,010
County Connection (CCCTA)	1.0%	484,534	-	-	484,534
Golden Gate Transit/Marin Transit	3.2%	1,477,729	-	-	1,477,729
Wheels (LAVTA)	0.5%	240,910	-	-	240,910
Muni (SFMTA)	25.2%	11,723,430	-	-	11,723,430
SamTrans	4.9%	2,272,697	-	-	2,272,697
Tri Delta Transit (ECCTA)	0.7%	327,019	-	-	327,019
VINE (NCTPA)	1.3%	597,647	-	-	597,647
VTA	19.7%	9,186,049	-	-	9,186,049
WestCat (WCCTA)	0.3%	147,335	-	-	147,335
Solano County Operators	3.3%	1,547,328	-	-	1,547,328
Sonoma County Operators	4.2%	1,938,791	-	-	1,938,791
Total	100.0%	46,519,967	-	-	46,519,967

(1) FY2011 Prop 1B appropriations represent three years of funding.

(2) Only transit operators who have previously received Proposition 1B Lifeline funds are included in the formula

10/23/2013

Appendix 1
Lifeline Transportation Program Third Cycle Funding

Funding Source Information

	State Transit Assistance (STA)	Proposition 1B – Transit	Job Access and Reverse Commute (JARC)	Surface Transportation Program (STP)
Purpose of Fund Source	To improve existing public transportation services and encourage regional transportation coordination	To help advance the State's goals of providing mobility choices for all residents, reducing congestion, and protecting the environment	To improve access to transportation services to employment and related activities for welfare recipients and eligible low-income individuals	To fund highway improvements, including projects on eligible public roads, transit capital projects, and intracity/ intercity bus terminals and facilities.
Detailed Guidelines	http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf	www.mtc.ca.gov/funding/infrastructure/PTMISEA_12-05-07.PDF	www.fta.dot.gov/documents/FTA_C_9050.1_JARC.pdf	http://www.fta.dot.gov/documents/cmaq08gd.pdf
Use of Funds	For public transportation purposes including community transit services	For public transportation purposes	For transportation services that meet the transportation needs of low-income persons	For public transportation purposes
Eligible Recipients	▪ Transit operators ▪ Cities and Counties if eligible to claim TDA ▪ MTC for regional coordination ▪ Other entities, under an agreement with an eligible recipient	Transit operators or local agencies that are eligible to receive STA funds, as listed by State Controller's Office	▪ Operators of public transportation services, including private operators of public transportation services ▪ Private non-profit organizations ▪ State or local governmental authority	▪ Operators of public transportation services. ▪ State or local governmental authority
Eligible Projects	Transit Capital and Operations, including: ▪ New, continued or expanded fixed-route service ▪ Purchase of vehicles ▪ Shuttle service if available for use by the general public ▪ Purchase of technology (i.e. GPS, other ITS applications) ▪ Capital projects such as bus stop improvements, including bus benches, shelters, etc. ▪ Various elements of mobility management, if consistent with STA program purpose and allowable use. These may include planning, coordinating, capital or operating activities.	Transit Capital (including a minimum operable segment of a project) for: ▪ Rehab, safety, or modernization improvements ▪ Capital service enhancements or expansions ▪ New capital projects ▪ Bus rapid transit improvements ▪ Rolling stock procurement, rehab, or replacements Projects must be consistent with most recently adopted short-range transit plan or other publicly adopted plan that includes transit capital improvements.	Capital and Operating projects including: ▪ Services (e.g. late-night & weekend, shuttles) ▪ Ridesharing and carpooling ▪ Transit-related aspects of bicycling ▪ Local car loan programs ▪ Marketing ▪ Certain pedestrian and bicycle projects ▪ Administration and expenses for voucher programs ▪ ITS, AVL, etc. for improving scheduling and dispatch ▪ Mobility management Projects must be derived from the regionally-adopted Coordinated Public Transit-Human Services Transportation Plan.	Capital and Planning projects including: ▪ Public transit capital improvements ▪ Rehab, safety, or modernization improvements ▪ Pedestrian and bicycle facilities ▪ Transportation planning activities ▪ Community-Based Transportation Plan updates ▪ Consolidated transportation services planning

	State Transit Assistance (STA)	Proposition 1B – Transit	Job Access and Reverse Commute (JARC)	Surface Transportation Program (STP)
Lifeline Program Local Match	20%	20%	▪ 50% for operating projects (may use STA funds to cover up to 30% if project is eligible for both JARC and STA) ▪ 50% for auto projects ▪ 20% for capital projects	20%
Estimated timing for availability of funds to project sponsor	▪ Transit operators and eligible cities and counties can initiate claims for FY12 and FY13 funds immediately following MTC approval of program of projects for current fiscal year funds. ▪ For "other entities", the eligible recipient acting as fiscal agent will initiate a funding agreement following MTC approval of program of projects. Funds will be available on a reimbursement basis after execution of the agreement.	Project sponsors must submit a Proposition 1B application to MTC for submittal to Caltrans by April 11, 2012. Disbursement timing depends on bond sales.	For FY11 and FY12 funds, following MTC approval of the program of projects, there will be a 3-6 month process of entering projects in the TIP, applying for the FTA grant, FTA review and award. Following FTA award, there will be an additional 3 month process of entering into funding agreements with the non-FTA recipient project sponsors. Funds will be available on a reimbursement basis after execution of agreements. For FY13 funds, the 6-9 month process of entering projects in the TIP, applying for the FTA grant, and entering into funding agreements will start as soon as the funds are appropriated and secured (approximately Spring 2013).	**For transit projects:** After approval by the Commission, the sponsor will enter projects in the TIP, apply to FHWA for a funds transfer to FTA, apply for the FTA grant, FTA review and award. Following FTA award, there will be an additional process of entering into funding agreements with the non-FTA recipient project sponsors. Funds will be available on a reimbursement basis after execution of agreements. **For local agencies with non-transit projects (e.g., bicycle and pedestrian facilities):** After project approval by the MTC Commission, the sponsor will enter projects in the TIP, followed by submitting the obligation requests to FHWA. Project sponsors cannot spend STP funds until after they receive FHWA authorization.
Accountability & Reporting Requirements	▪ Transit operators and eligible cities and counties must submit annual performance (i.e., ridership) statistics for the project, first to Lifeline Program Administrators for review, and then to MTC along with annual claim. ▪ Depending on the arrangement with the pass-through agency, "other entities" will likely submit quarterly performance reports with invoices, first to the pass-through agency for reimbursement, and then to Lifeline Program Administrators for review.	Using designated Caltrans forms, project sponsors are required to submit project activities and progress reports to the state every six months, as well as a project close-out form. Caltrans will track and publicize progress via their website. Project sponsor will not be required to submit progress reports to the Lifeline Program Administrator unless the LPA believes that county-level project monitoring would be beneficial.	Non-FTA recipient sponsors will submit quarterly performance reports with invoices, first to Lifeline Program Administrators for review, and then to MTC for reimbursement. Non-FTA recipient sponsors will also submit FTA Certifications and Assurances and Title VI reports annually to MTC, and are subject to Title VI monitoring. FTA recipients are responsible for following all applicable federal requirements for preparing and maintaining their JARC grants. All project sponsors will submit annual JARC reporting information to MTC.	Non-FTA recipient sponsors will submit quarterly performance reports with invoices, first to Lifeline Program Administrators for review, and then to MTC for reimbursement. Non-FTA recipient sponsors will also submit FTA Certifications and Assurances and Title VI reports annually to MTC, and are subject to Title VI monitoring. FTA recipients are responsible for following all applicable federal requirements for preparing and maintaining their STP grants. All project sponsors will submit annual STP reporting information to MTC.

Note: Information on this chart is accurate as of December 2011. MTC will strive to make Lifeline Program Administrators aware of any changes to fund source guidelines that may be enacted by the appropriating agencies (i.e. State of California, Federal Transit Administration).

Appendix 2
Lifeline Transportation Program Third Cycle Funding

Compliance with Federal Requirements for Job Access and Reverse Commute (JARC) and Surface Transportation Program (STP) Funds

Applicants should be prepared to abide by all applicable federal requirements as specified in 49 U.S.C. Section 5316, FTA Circulars C 9050.1 and 4702.1A, the most current FTA Master Agreement MA(13), and the most current Certifications and Assurances for FTA Assistance Programs.

MTC includes language regarding these federal requirements in its funding agreements with subrecipients and requires each subrecipient to execute a certification of compliance with the relevant federal requirements. Subrecipient certifications are required of the subrecipient prior to the execution of a funding agreement by MTC and annually thereafter when FTA publishes the annual list of certifications and assurances.

Direct recipients are responsible for adhering to FTA requirements through their agreements and grants with FTA directly.

Title VI of the Civil Rights Act

In connection with MTC's Title VI monitoring obligations, as outlined in FTA Circular 4702.1A (Title VI and Title VI-Dependent Guidelines for Federal Transit Administration Recipients), applicants will be required to provide the following information in the grant application:

a. The organization's policy regarding Civil Rights (based on Title VI of the Civil Rights Act) and for ensuring that benefits of the project are distributed equitably among low-income and minority population groups in the project's service area.
b. Information on whether the project will provide assistance to predominately minority and low-income populations. (Projects are classified as providing service to predominately minority and low-income populations if the proportion of minority and low-income people in the project's service area exceeds the regional average minority and low-income population.)

In order to document that federal funds are passed through without regard to race, color or national origin, and to document that minority populations are not being denied the benefits of or excluded from participation in the Lifeline Transportation Program, MTC will keep a record of applications submitted for Lifeline funding. MTC's records will identify those applicants that would use grant program funds to provide assistance to predominately minority and low-income populations and indicate whether those applicants were accepted or rejected for funding.

MTC requires that all JARC and STP subrecipients submit all appropriate FTA certifications and assurances to MTC prior to funding agreement execution and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC will not execute any funding agreements prior to having received these items from the selected subrecipients. MTC, within its administration, planning, and technical assistance capacity, also will comply with all appropriate certifications and assurances for FTA assistance programs and will submit this information to the FTA as required.

The certifications and assurances pertaining to civil rights include:

1. Nondiscrimination Assurances in Accordance with the Civil Rights Act
2. Documentation Pertaining to Civil Rights Lawsuits and Complaints

Nondiscrimination assurances included above involve the prohibition of discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibit discrimination in employment or business opportunity, as specified by 49 U.S.C. 5332 (otherwise known as Title VI of the Civil Rights Act of 1964O, as amended (42 U.S.C. 2000d et seq.) and U.S. DOT regulations, *Nondiscrimination in Federally-Assisted Programs of the*

Department of Transportation-Effectuation of Title VI of the Civil Rights Act, 49 C.F.R. Part 21. By complying with the Civil Rights Act, no person, on the basis of race, color, national origin, creed, sex, or age, will be excluded from participation in, be denied the benefits of any program for which the subrecipient receives federal funding via MTC.

As a condition of receiving JARC and STP funds, subrecipients must comply with the requirements of the US Department of Transportation's Title VI regulations. The purpose of Title VI is to ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Subrecipients are also responsible for ensuring compliance of each third party contractor at any tier of the project.

Subrecipients must develop procedures for investigating and tracking Title Vi complaints filed against them and make their procedures for filing a complaint available to members of the public upon request. In order to reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI complaint investigation and tracking procedures developed by MTC.

Subrecipients must prepare and maintain a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the subrecipient that allege discrimination on the basis of race, color, or national origin. This list shall include the date, summary of allegations, current status, and actions taken by the subrecipient in response to the investigation, lawsuit, or complaint.

Subrecipients must provide information to the public regarding their Title VI obligations and apprise members of the public of the protections against discrimination afforded to them by Title VI. Subrecipients that provide transit service shall disseminate this information to the public through measures that can include but shall not be limited to a posting on the agency's Web site.

All successful subrecipients must submit compliance reports to MTC. The following contents will be required with the submission of the standard agreement and annually thereafter with the submission of the annual FTA certifications and assurances:

1. A summary of public outreach and involvement activities undertaken and a description of steps taken to ensure that minority and low-income people had meaningful access to these activities.

2. A copy of the subrecipient's plan for providing language assistance for persons with limited English proficiency (LEP) that was based on the DOT LEP Guidance or a copy of the agency's alternative framework for providing language assistance.

3. A copy of the subrecipient procedures for tracking and investigating Title VI complaints.

4. A list of any Title VI investigations, complaints, or lawsuits filed with the subrecipient. This list should include only those investigations, complaints, or lawsuits that pertain to the subrecipient submitting the report, not necessarily the larger agency or department of which the entity is a part.

5. A copy of the subrecipient's notice to the public that it complies with Title VI and instructions to the public on how to file a discrimination complaint.

The first compliance report, submitted with the standard agreement, must contain all of the contents listed above. If, prior to the deadline for subsequent compliance reports, the subrecipient has not altered items 2, 3 and 5 above (its language assistance policies, procedures for tracking and investigating a Title VI complaint, or its notice to the public that it complies with Title VI and instructions to the public on how to file a Title VI complaint), the

subrecipient should submit a statement to this effect in lieu of copies of the original documents. The annual compliance report should include an update on items 1 and 4.

Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS)
JARC and STP recipients/subrecipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.[5] A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (http://fedgov.dnb.com/webform).

Role of Recipients/Subrecipients: JARC and STP recipients/subrecipients' responsibilities include:

- For direct recipients (transit operators who are FTA grantees), submitting a grant application to FTA and carrying out the terms of the grant;
- Meeting program requirements and grant/funding agreements requirements including, but not limited to, Title VI reporting requirements;
- Making best efforts to execute selected projects; and
- Complying with other applicable local, state, and federal requirements.

[5] A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct subrecipients.

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APPENDIX A – 22

Regional Policies: Project Funding

Caltrans Toll Credit Use Policy

Expires – Upon Issuance of LPP

Use of Toll Credits in Lieu of Non-Federal Share Match for Local Assistance Federal-Aid Highway Projects

I. BACKGROUND

This Office Bulletin (OB) supersedes the Toll Credits Policy in Section 3.10 of the Local Assistance Procedures Manual (LAPM).

Section 1508 of the Moving Ahead for Progress in the 21st Century Act (MAP-21) as established under Section 120(i) of the Title 23 of the United States Code (USC) authorizes states to use certain toll revenue expenditures as a credit toward the non-federal matching share of programs authorized by Title 23 (except for the Emergency Relief (ER) Program) and for transit programs authorized by Chapter 53 of Title 49 of the USC.

Federal-aid highway projects typically require the project sponsors to provide a certain percentage of non-federal funds as match to the federal funds. For example, Surface Transportation Program (STP) funded projects require a minimum of 11.47% of non-federal match funds. Through the use of toll credits, the non-federal share match requirement can be met by applying an equal amount of toll credits and therefore *allow a project to be funded at 100% federal* for federally participating costs.

On June 04, 2013, the Division of Budgets issued an updated statewide "Toll Credit Use Policy". This update included two additional changes which are indicated below in the last two bullets:

- Toll credits will continue to be made available statewide to the Regional Transportation Planning Agencies (RTPAs) for federal match to all eligible federal-aid highway funding programs.
- Toll credits can be used on all federal-aid highway funding programs EXCEPT for the ER Program.
- Local agencies may now use other federal funding to replace the required local match for both On-System Local Highway Bridge Program (HBP) projects and Highway Safety Improvement Program (HSIP) projects. With this option toll credits can be applied to each federal funding component in the project to increase the federal reimbursement rate to 100%. The limit of toll credit use for On-System Local Highway Bridge Program (HBP) projects and Highway Safety Improvement Program (HSIP) projects is because all available funds have been fully programmed and there are more needs than funding capacity.
- Two websites have been added to the policy to assist local agencies that wish to use toll credits for the federal Planning and Federal Transit Administration (FTA) funds.

This OB prescribes Division of Local Assistance's implementing procedures for the use of toll credits on federally funded Local Assistance projects.

II. POLICY

One of the conditions for FHWA's approval of the toll credits is that its use does not reduce the state's non-federal transportation capital expenditures. To conform to this policy, California must demonstrate continued efforts to maintain its non-federal transportation expenditures. Therefore, project sponsors that have savings of transportation dollars due to toll credit match of federal funds shall spend that savings on other transportation related projects.

In addition, it needs to be noted that the use of toll credits does not generate any additional federal funding. Its use is merely to meet the non-federal match requirement of the federal participating cost. The amount of toll credit available each year is limited by the amount of annual Federal Obligation Authority (OA).

Toll credits can be used in any phase of federal-aid projects (Preliminary Engineering, Right of Way, or Construction) as long as that phase of work has not been previously authorized. Caltrans policy does not allow the retroactive use of toll credits on a phase of work that has already received federal authorization. However, subsequent phases can be authorized to use toll credits.

In order to use toll credit, a project **MUST** meet the following requirements:

- The intended use of toll credits is explicitly expressed in the Request for Authorization (RFA) to proceed by marking the appropriate toll credit use area;
- Indicate the use of toll credits in the Remarks of the signed project Finance Letter;
- Be fully funded at the maximum allowable federal reimbursement rate, excluding federally non-participating costs;
- Programmed in the current Federal Statewide Transportation Improvement Program (FSTIP) as using toll credits;
- The project is funded with funds from one of the programs listed in Caltrans' Statewide Toll Credit Use Policy.
- Project must meet the eligibility criteria for that particular funding being used on the project.

III. PROCEDURE

The following examples demonstrate how the use of toll credits is different than the normal federal/non-federal match funding.

Scenario A – Traditional Project Funding with Match

For a project with a total cost of $120,000 of which $100,000 is reimbursable from FHWA ($20,000 of federally non-participating costs) using a federal reimbursement rate of 88.53%, the funding plan would normally be as indicated in Table 1.

Table 1 - Traditional Funding

Prog Code	Total Cost	Participating Cost	Federal Funds	Non-Federal Funds	Toll Credit
M240	$120,000	$100,000	$88,530	$31,470	$0

The federal fund amount required in this scenario is $88,530 (88.53%) of the participating cost and the non-federal funding amount is equal to the non-participating amount $20,000 plus the required $11,470 (11.47%) non-federal match for a total amount of $31,470.

Scenario B – Toll Credit Funding

When toll credit is being applied to the project, it is used as a credit toward the non-federal share of $11,470 (11.47%). Since toll credits are not federal funds, federal share must be increased to accommodate the reduction of non-federal funds resulting from the toll credit being used as indicated in Table 2.

Table 2 - Use Toll Credit

Prog Code	Total Cost	Participating Cost	Federal Funds	Non-Federal Funds	Toll Credit
M240	$120,000	$100,000	$100,000	$20,000	$11,470

The federal fund amount required is changed from $88,530 (88.53%) to $100,000, the total Participating Cost, and the non-federal funding amount is equal to the non-participating amount. This option is not applicable for On-System Local HBP projects and Highway Safety Improvement Program (HSIP) projects (see Scenario C below).

Scenario C – Toll Credit with Dual Federal Funding

This scenario is for an HSIP project using STP funds as a match. When other types of federal funding are being applied as a match to the project, each fund must be treated as a separate funding component with 100% federal funding and a corresponding toll credit. A toll credit value equal to the required non-federal match will be applied to each of the federal funding lines as indicated in Table 3.

Table 3 - Use Toll Credit With Federal Funding

Funding Line	Prog Code	Total Cost	Participating Cost	Federal Funds 1	Federal Funds 2	Toll Credit
1	MS30 (HSIP)	$90,000	$90,000	$90,000	$0	$9,000
2	M240 (STP-Match)	$10,000	$10,000	$0	$10,000	$1,147
	Total	**$100,000**	**$100,000**	**$90,000**	**$10,000**	**$10,147**

For this example, the required non-federal match for HSIP funding line #1 is $9,000 (10%). For funding line #2 the required match for STP funding is $1,147 (11.47%). Therefore, the total amount of toll credit applied to this project is $10,147. This option is applicable for On-System Local HBP projects and Highway Safety Improvement Program (HSIP) projects.

Local Agencies:

- Work with the respective Metropolitan Planning Organization (MPO) or RTPA to ensure the use of toll credit is appropriate and that such use is properly programmed in the MPO's Federal Transportation Improvement Program (FTIP), and subsequently in the Federal Statewide Transportation Improvement Program (FSTIP);

- Submit Request for Authorization (RFA) and Finance Letter indicating the use of toll credits for the project; Federal funds must equal 100% of the total participating costs. Include a comment in the "Remarks" section of the Finance letter for the use of toll credits; and
- After receiving Authorization to Proceed, an executed Program Supplemental Agreement (PSA), and a State approved Finance Letter. Invoices for eligible costs may be billed at 100% of the participating costs.

Caltrans District Local Assistance Engineers and HQ Area Engineers:

- Perform normal review to ensure accuracy and completeness of the RFA;
- Enter RFA information into the Federal Aid Data System (FADS);
- Verify that both the RFA and Local Agency signed Finance Letter indicate the use of toll credits,

    - The use of toll credits must be stated in the "Remarks" Section of the LP2000 Finance Letter.
    - Mark "(TC)" to be the last four characters of the "Type of Work" Field on the Fund Sum Screen of FADS. This will allow easier identification of toll credit projects in FADS reporting.
    - Enter the amount of toll credits, equivalent to the non-federal match of the total Participating Cost, into the "Toll Credit" Field on Fund Detail Screen of FADS, and
    - Include a special remark in the "State Comment" field to indicate the use of toll credits (e.g., "This project will use toll credits in-lieu of non-federal match, resulting in federal reimbursement rate of 100%").

Local Program Accounting:

Review and make payments on project invoices at 100% Federal reimbursement rate or as indicated on the State approved Finance Letter for projects using toll credits.

FTA Transfer Requests:

FTA transfers are eligible to use toll credits.

IV. APPLICABILITY/IMPACTS

This will impact all Local Agency federal-aid transportation projects proposed to use toll credits.

Recommended: **Original Signed By** 3/27/2014
Robert Nguyen, Area Engineer — Date

Approved: **Original Signed By** 3/27/2014
John Hoole, Office Chief — Date
Office of Project Implementation - South

Attachment 1: California Department of Transportation Toll Credit Use Policy (June 04, 2013)
Attachment 2: Toll Credit Example

CALIFORNIA DEPARTMENT OF TRANSPORTATION
TOLL CREDIT USE POLICY

Background:
Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), 23 U.S.C., Section 1044 of ISTEA under Section 120(j), and 23 U.S.C., Section 1508 of MAP-21 under Section 120(i) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of programs authorized by Title 23 (except for the emergency relief programs) and for transit programs authorized by Chapter 53 of Title 49.

During Fiscal Year (FY) 1992 through FY 2006, California has collected approximately $18.2 billion in toll receipts, of which over $7.1 billion was invested to build and/or improve public highway facilities. Based on federal statutes, the State applied for approximately $5.7 billion in toll credits from investments during this time period. Now approved, these toll credits do not lapse until used by the state.

Effective Date and Duration:
These guidelines apply permanently to the $5.7 billion, which was conditionally approved by the FHWA for the State of California[1] along with any future toll credits which are received based on Caltrans maintenance of effort in conjunction with local toll collection and will remain in effect until rescinded or modified.

Guiding Principles for use of Toll Credits:

- Compliance with state and federal statutes,
- Maximize the use of federal funds,
- Toll credits should not result in the redirection of non-federal funds away from transportation.

Constraints/requirements:

- Use of toll credits does not generate additional federal funding and is limited to the non-federal match required for Apportionments and Obligational Authority (OA) available in any given year.
- All projects proposed to use toll-credits should be fully funded at the maximum allowable federal reimbursement rate.
- Use of toll credits will require amendments to current programming documents.
- FTIPs still need to be financially constrained.
- Toll credits may not be applied to projects funded with FHWA Emergency Relief funds or Appalachian Development Highway System (ADHS).
- The State must establish a special account to track toll credits.
- Processes for the tracking of toll credit usage must be established.

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[1] On June 1, 2005, the Department received approval from FHWA for $104.026 million in toll credits from private entity expenditures on State Route 91. This $104.026 million will be kept separate for use within Orange County.

Distribution Process:

1. Toll credits will be made available statewide to the RTPAs and to the Department of Transportation for federal match to any eligible federal program. Local agencies may match the Highway Bridge Program for on federal-aid system projects, and local safety projects with any other type of federal funding, including the use of STIP shares, for which the project is eligible.
    a. RTPAs will provide the Department with an estimate of the total need for toll credits for the FTIP period by programming year.
    b. In order for the State to implement the usage of toll credits statewide, the RTPA must submit to the Department on or before October 1 of each federal fiscal year, a list of programmed FTIP projects that are planned to use the credits for the upcoming federal fiscal year (starting October 1).

2. Periodically, the policy will be re-evaluated and if necessary changes will be made to the methodology and process for the disbursement of toll credits to take effect in the federal fiscal year subsequent to adoption.

3. Further direction regarding toll credit policy for Planning and Federal Transit Administration can be found at:
http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index_files/Final_2011_RPH.pdf
http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/5311/transittollcreditsrev012611.pdf

Monitoring and Reporting of Toll Credit Usage and Balance

In accordance to the FHWA February 8, 2007, Memorandum on Tolling and Pricing Program, Caltrans will establish and maintain a special account to track the use and balance of toll credits for FHWA funded projects.

As a pre-condition for utilizing toll credits on FTA funded projects, RTPAs and local agencies shall develop and maintain a special account to track the use and balance of toll credits acceptable to FTA and FHWA. The obligations of funds through FTA constitute final use of toll credits as FTA funds are not de-obligated but are amended through the FTA.

APPROVED:

Steven P Keck — June 4, 2013

STEVEN KECK — Date
Acting Chief Financial Officer

APPENDIX A – 23

Regional Policies: Project Funding

MTC Toll Credit Policy
MTC Resolution No. 4008

Date: April 27, 2011
W.I.: 1512
Referred by: PAC
Revised: 09/26/12-C

ABSTRACT

Resolution No. 4008, Revised

This resolution establishes the regional policy for managing the use of Toll Credits, also known as Transportation Development Credits, within the San Francisco Bay Area.

This resolution includes the following attachments:

Attachment A – Regional Toll Credit Policy

Attachment A to the resolution was revised on September 26, 2012 to add a fourth principle for the use of toll credits for flexibility in managing programs of regional significance.

Additional discussion of this action is contained in the MTC Programming and Allocations Committee Summary dated April 13, 2011 and September 12, 2012.

Date: April 27, 2011
W.I.: 1512
Referred by: PAC

Re: Regional Toll Credit Policy

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4008

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency (RTPA) for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area Region (the region); and

WHEREAS, MTC, as the designated RTPA and MPO for the region, is responsible for programming and managing certain federal and state funding provided to the San Francisco Bay Area for transportation purposes; and

WHEREAS, Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), and 23 U.S.C., Section 1044 of the Intermodal Surface Transportation Efficiency Act (ISTEA) under Section 120(j) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of certain programs authorized by Title 23 (referred to as Toll Credits) and for transit programs authorized by Chapter 53 of Title 49 (referred to as Transportation Development Credits); and

WHEREAS, the Federal Highway Administration (FHWA) has granted approval to Caltrans to use Toll Credits; and

WHEREAS, the California Department of Transportation (Caltrans) has developed a policy on the use of Toll Credits, including the monitoring and reporting of toll credit usage; and

WHEREAS, Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length, establishes the policy principles for the region's use of Toll Credits, now therefore be it

RESOLVED, that MTC approves the regional Toll Credit policy for the San Francisco Bay Area as set forth in Attachment 'A' to this resolution; and be it further

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on April 27, 2011

Date: April 27, 2011
W.I.: 1512
Referred by: PAC
Revised: 09/26/12-C

Attachment A
MTC Resolution No. 4008

Regional Toll Credit Policy

Background

Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), and 23 U.S.C., Section 1044 of the Intermodal Surface Transportation Efficiency Act (ISTEA) under Section 120(j) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of certain programs authorized by Title 23 (referred to as toll credits) and for transit programs authorized by Chapter 53 of Title 49 (referred to as transportation development Credits).

Toll credits do not provide additional revenues, but rather allow the use of federal funds at a reimbursement rate of 100% without a required non-federal match.

The Federal Highway Administration (FHWA) approved approximately $4.2 billion in toll credits for use in California.

Toll credits are managed by Caltrans at the state level.

Current State Toll Credit Policy

Caltrans has established a toll credit policy for federal transportation funds managed by the state. The use of toll credits for STP/CMAQ and FTA Formula FG funds is at the discretion of the RTPA/designated recipient.

Regional Principles

The use of toll credits should be focused toward the objectives below:

- **Maximize Efficient Use of Federal Funds:** Apply toll credits on large federalized projects to substitute for non-federal funding otherwise used as local match (e.g. County sales tax funds). This would allow the local funds to be used on other transportation projects and would focus federal funds on fewer, larger projects, while redirecting more flexible funding to other transportation projects that may have difficulty proceeding through the federal-aid process.

- **Facilitate Funding Exchanges:** Consider the use of toll credits if needed to facilitate the exchange of non-federal funds. Using toll credits maximizes the local dollars available for exchanges thereby expanding the 'pool' of non-federal funds with which to implement a broader range of regional transportation strategies, consistent with MTC's existing exchange program.

- **Target Federal Funds to Specific Phase(s):** For some projects it is often advantageous to use non-federal funds for specific phases, such as preliminary engineering, and use federal funds for other phases such as construction. However, it is difficult to obtain federal approval to consider local funding spent on earlier phases as match to federal funds in later phases. Sponsors tend to over-match smaller projects as a result. It is proposed that toll credits may be used on a case-by-case basis for a specific phase, where non-federal funds have been expended in excess of the required non-federal match in the earlier phases. The overall project would still have non-federal funding exceeding the required match for the entire project, while facilitating project delivery by targeting federal funds to a specific phase.

- **Flexibility for Programs of Regional Significance:** Allow toll credits for programs of regional significance including planning and outreach activities, allowing greater flexibility in managing on-going regional programs and planning efforts.

Implementation

The Toll Credit policy is to be implemented by MTC through the policies and procedures developed for the specific federal program managed by MTC.

This policy only applies to federal funds managed by MTC (including FTA 5307, FTA 5309 FG, STP and CMAQ).

Monitoring

Toll credits are to be entered into MTC's Fund Management System (FMS) for tracking and reporting purposes.

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APPENDIX A – 24

Regional Policies: Project Funding

Policies and Procedures for the Regional Traffic Relief Plan of Regional Measure 2 (RM2)

MTC Resolution No. 3636

Date: June 23, 2004
W.I.: 1255
Referred by: PAC
Revised: 11/17/04-C 09/21/05-C
03/28/07-C 05/28/08-C
04/22/09-C 04/28/10-C

ABSTRACT

Resolution No. 3636, Revised

This resolution adopts the policies and procedures for the Regional Traffic Relief Plan of Regional Measure 2 (RM2), included in Attachment A, *Regional Measure 2 Regional Traffic Relief Plan Policies and Procedures* (with attachments).

This Resolution was revised on November 17, 2004 to add the performance measures for transit operating projects and to make technical changes to the Regional Measure 2 Policies and Procedures.

This Resolution was revised on September 21, 2005 to modify the eligible costs for project sponsors and implementing agencies, clarify transit vehicle purchase requirements, modify progress reporting requirements and frequency, and make minor technical changes.

This Resolution was revised on May 28, 2007 to make clarifications to the invoicing procedures, modify timely use of funds requirements, add project close out procedures, and make minor technical changes.

This Resolution was revised on May 28, 2008 to make changes to the invoicing and reimbursements section and the allocation budget plan section of the IPR format, and make minor technical changes.

This Resolution was revised on April 22, 2009 to make technical changes to reflect the present conditions of the program and make changes to the invoicing and reimbursements section.

This Resolution was revised on April 28, 2010 to make technical changes to reflect the present conditions of the program and incorporate the recent changes in invoicing processes.

Additional discussion of this Resolution is available in the Executive Director's memoranda to the Programming and Allocations Committee dated June 9, 2004 and November 10, 2004, and the Summary Sheet dated September 14, 2005, May 14, 2008, April 8, 2009 and April 14, 2010.

Date: June 23, 2004
W.I.: 1255
Referred By: PAC

RE: Policy and Procedures for Implementation of the Regional Traffic Relief Plan of Regional Measure 2 (RM 2)

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3636

WHEREAS, pursuant to Government Code Section 66500 *et seq.*, the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, Streets and Highways Code Sections 30950 *et seq.* created the Bay Area Toll Authority ("BATA"), which is a public instrumentality governed by the same board as that governing MTC; and

WHEREAS, on March 2, 2004, voters approved Regional Measure 2, which increased the toll for all vehicles on the nine State-owned toll bridges in the San Francisco Bay Area by $1.00, with this extra dollar funding various transportation projects within the region that have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors, as identified in SB 916 (Chapter 715, Statutes of 2004), commonly referred as Regional Measure 2 ("RM 2"); and

WHEREAS, RM 2 establishes the Regional Traffic Relief Plan and identifies specific capital projects and programs and transit operating assistance eligible to receive RM2 funding as identified in Sections 30914(c) & (d) of the California Streets and Highways Code; and

WHEREAS, BATA shall fund the projects of the Regional Traffic Relief Plan by bonding or transfers to MTC; and

WHEREAS, RM 2 assigns administrative duties and responsibilities for the implementation of the Regional Traffic Relief Plan to MTC; and

WHEREAS, MTC has developed policies and procedures for the implementation of the Regional Traffic Relief Plan as set forth in Attachment A to this Resolution, attached hereto and incorporated herein as though set out in full; now, therefore be it

RESOLVED, that MTC hereby adopts the attached policy and procedure for the implementation of the Regional Measure 2 Regional Traffic Relief Plan as set forth in Attachment A; and, be it further

RESOLVED, that the Executive Director is hereby delegated the ability to make non-substantive changes to Attachment A as he deems appropriate to implement the Regional Traffic Relief Plan.

METROPOLITAN TRANSPORTATION COMMISSION

Steve Kinsey, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on June 23, 2004

Date: June 23, 2004
W.I.: 1255
Referred by: PAC
Revised: 11/17/04-C 09/21/05-C
03/28/07-C 05/28/08-C
04/22/09-C 04/28/10-C

Regional Measure 2
Regional Traffic Relief Plan
Policies and Procedures

Amended April 28, 2010

MTC Resolution No. 3636
Attachment A

Metropolitan Transportation Commission

Programming and Allocations Section
http://www.mtc.ca.gov

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Section 1 – General Provisions

Background

On March 2, 2004, voters passed Regional Measure 2 (RM2), raising the toll for all vehicles on the seven State-owned toll bridges in the San Francisco Bay Area, by $1.00. This extra dollar is to fund various transportation projects within the region that have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors, as identified in SB 916 (Chapter 715, Statutes of 2004). Specifically, RM2 establishes the Regional Traffic Relief Plan and identifies specific capital projects and programs and transit operating assistance eligible to receive RM2 funding as identified in Sections 30914(c) & (d) of the California Streets and Highways Code.

The following serve as the general provisions in the management of RM2 funding.

Note: Some of the projects identified in the Regional Traffic Relief Plan (RM2 projects), include complementary bridge toll funds (specifically RM1, AB1171) to complete their project funding plan. The administration of the bridge toll funds in these cases will also be governed by this resolution, unless otherwise stated in the allocating resolution.

Fund Management

The collection of toll revenue is estimated to equal $113 million annually. Costs to administer the program are an annual drawdown on the revenue and an annual limit of up to 38 percent, for the RM2 operation projects. Available revenue for capital allocations will vary annually and capital allocations will be approved with respect to the fund management of the overall program. Final allocation decisions will be subject to the availability of funds. Finally, first year costs (FY 2004-05) include the required reimbursements to counties for the costs of administering the RM2 ballot measure as part of the March 2nd 2004 general election, as well as the 4-month discount from July 2004 through October 2004 to encourage more users to sign up for FasTrak®, the Bay Area's electronic toll collection system.

Program Financing Costs

It is the intent of the Commission to implement those projects and programs outlined in Streets and Highways Code Section 30914 (c) and (d), to the funding amounts designated. The cost of bonding and financing associated with RM2, including interest payments shall be considered a program cost and shall be identified in the annual RM2 Budget as the first priority repayment. The financing costs are not expected to reduce the overall funding level available to projects and programs.

Funding Exchanges

Generally, the exchange of RM2 funding with other types of funding from projects not identified in RM2 shall not be allowed, nor shall projects be substituted.

Matching Funds

A local match is not required for RM2 funds. Complementary funds (non-RM2 funds), for the project phase where RM2 funds are being requested and identified in the financial plan must be available at the time of allocation. Regional Measure 2 funds can be used as the match for federal fund sources requiring a non-federal match.

Public Involvement Process

The capital improvement projects and operating assistance for transit services identified for funding in RM2 are established by state legislation (Senate Bill 916, Chapter 715, Statutes of 2004) approved by the voters on March 2, 2004. In accordance with the legislation as approved by the voters, the Bay Area Toll Authority (BATA) is the financial manager for RM2 funds, whose responsibilities include the preparation of financial plans, the issuance of debt financing, and the disbursal of funds to project sponsors. The Metropolitan Transportation Commission (MTC) is the program and project coordinator, whose responsibilities include reviewing project applications, programming and allocating funds to specific projects, and monitoring project delivery. In some cases, MTC also serves as the project sponsor, for the regional Transit Connectivity Study, as well as certain regional customer service projects, such as the Transit Commuter Benefits promotion, the Real Time Transit information program, and implementation of TransLink®.

Generally, in conducting its review and approval responsibilities stipulated under RM2, MTC will adhere to its public participation policies as outlined in MTC Resolution No. 3821 MTC's Policy and Procedures on Public Involvement.

Specific statutory provisions require further that as part of its assessment of the status of programs and projects under RM2, MTC may make a finding that a program or project cannot be completed or cannot continue due to financing or delivery obstacles making the continuation of the program or project unrealistic, or that a project may be funded using non-RM2 funds. MTC may then determine that the funding will be reassigned. Under these circumstances, the Commission shall hold a public hearing on the project after consultation with the program or project sponsor. The process outlined in MTC's Policy and Procedures on Public Involvement for notification of actions at BATA, Commission, and committee meetings will be adhered to. After the hearing, the Commission may vote to modify the program or the project's scope, decrease its level of funding, or reassign all of the funds to another or an additional regional program or project in the same corridor.

COMPLIANCE WITH OTHER REQUIREMENTS

It is the responsibility of project sponsors to ensure their agency's compliance with all applicable local, state, and federal requirements.

Indemnification of MTC

The sponsor shall indemnify and hold harmless MTC, its Commissioners, officers, agents, and employees from any and all claims, demands, suits, loss, damages, injury, and/or liability, direct or indirect, incurred by reason of any act or omission of sponsor, its officers, agents, employees, and subcontractors, under or in connection with the RM2 program. Sponsor agrees at its own cost, expense, and risk, to defend any and all claims, actions, suits, or other legal proceedings brought or instituted against MTC, its Commissioners, officers, agents, and employees, or any of them, arising out of such act or omission, and to pay and satisfy any resulting judgments.

Section 2 – Capital Program Guidance

Background

Projects eligible to receive funding from the Capital Program of the Regional Measure 2 (RM2) Regional Traffic Relief Plan are those projects identified to receive funding under Section 30914(c) of the California Streets and Highways Code (S&HC). Sponsors are required to submit an initial report to establish the baseline project data. These reports are the backbone of the allocation and funding agreements for the capital projects. The capital program is managed in a manner where allocations are approved based upon project sponsor need and readiness and the availability of funding in the bridge toll program. MTC's goal is to carry out the intent of the legislation and ensure that projects are delivered within the investments of the toll payers.

Capital Project Definition

Initial Project Report (IPR)

Project sponsors with projects identified to receive funding under Section 30914(c) of the S&HC are required to submit an Initial Project Report (IPR) to MTC before July 1, 2004. An updated report must be submitted as needed or as requested by MTC; at a minimum, sponsors must submit an updated IPR with any funding allocation request. The Commission will consider approval of the report, or updated report, in conjunction with the allocation of funds.

This report shall include all information required to describe the project in detail, including identification of lead sponsor, the status of any environmental documents relevant to the project, additional funds required to fully fund the project, the amount, if any, of funds expended to date, a summary of any impediments to the completion of the project and a detailed financial plan. Specific information on the Initial Project Report format is included in Appendix A.

Useable Segment/ Deliverable Product

RM2 funds for capital projects will be allocated with the specific intent of achieving a product. Deliverable products shall be considered as:

- A completed planning or transit study/ environmental decision/ project approval documentation when allocating to the environmental phase;
- The final design package including contract documents when allocating to the final design phase;
- Title to property/ easements/ rights of entry / possession or utility relocation when allocating to the right of way phase;
- A completely constructed improvement (or vehicle acquisition/ rehabilitation) available for public usage when allocating to the construction phase.

The expenditure of RM2 funds for any phase of the project should lead to making available to the public a useable or operable segment in accordance with the legislative intent. Any additional funds required to fully fund the project must be identified in the uncommitted funding plan of the Initial Project Report (IPR). If the RM2 revenues are funding only a phase or segment of a larger project, it must be demonstrated that the RM2 deliverable phase or segment is fully funded with committed funds.

Project Phases
Project costs and revenue must be separated into the following project phases:

1. Planning Activities, Environmental Studies & Preliminary Eng (ENV / PE / PA&ED)
2. Final Design - Plans, Specifications and Estimates (PS&E)
3. Right-of-Way Activities /Acquisition / Utility Relocation (R/W)
4. Construction / Rolling Stock Acquisition / Operating Service (CON)

(Planning studies should be categorized under the environmental phase. Vehicle acquisition or equipment purchase should be categorized under the construction phase.)

The project sponsor must display the project in these four components in the Initial Project Report and expenditure (cash flow) plans. If the project sponsors intend to use alternate delivery methods, such as but not limited to: design/build/operate/maintain, the preparation of the Request for Proposal is considered Final Design phase. The Alternate Delivery package is considered the Construction phase.

Allocation and Funding Agreement Process

The allocation process for RM2 capital projects shall also serve as the process for executing funding agreements, in most cases in lieu of a separate funding agreement for each capital project. These agreements are fully executed through a process of project sponsor governing board certification followed by Commission allocation action. Notwithstanding, under S&HC 30914(e), MTC has the option of entering into a memorandum of understanding between itself and a capital project sponsor addressing specific requirements to be met prior to or after the allocation of funds.

An IPR for capital projects, as outlined in S&HC 30914(e) and detailed in Appendix A and B, shall be prepared and adopted by the appropriate governing board* prior to MTC approval of the IPR and allocation of funds. The sponsor is expected to certify, through an action of its governing board, that certain conditions (general and project specific) are acknowledged and will be adhered to and compliance with the RM2 Policies and Procedures. Along with the certification of conditions from the project sponsor governing board and the IPR, the sponsor will need to provide evidence that the other fund sources contributing toward that project phase are committed. It is recommended that the sponsors submit the allocation request to MTC staff for review sixty days prior to the action by their governing board.

Upon completion of the lead sponsor governing board certification, the Commission will consider the allocation of RM2 funds. An allocation request is considered complete and ready for Commission consideration when all of the component elements to the request are submitted and approved by MTC staff. The Commission's resolution approving the allocation of RM2 funds, based on staff's review of the IPR and corresponding allocation package, will serve as an agreement between MTC and the implementing agency and may include project specific conditions. Where the Commission approves an amount less than the sponsor requested, the Commission allocation amount prevails. Reimbursement of funds is subject to meeting the conditions as stipulated in the MTC allocating resolution. *Approval and adoption of the IPR and corresponding allocation package by a sponsoring agency staff is acceptable if their board has approved a resolution authorizing and directing staff to execute documents and take actions necessary to meet MTC requirements. A copy of such a resolution must be provided to MTC prior to Commission action.

Allocation Principles
For the capital program, allocations will be considered as requested and final allocation decisions will be subject to the availability of funds in the overall RM2 program (capital and operating elements). The Commission will carefully consider each allocation and apply the following principles in its allocation decisions:

1. **Replacement Fund Source Not Allowed.** RM2 funds will not be utilized as a replacement fund source on capital projects for any funds that have been programmed or allocated previously to the project, for the phase requested by the project sponsor, if such replacement results in a shortfall for the overall project or places prior programming commitments in jeopardy.

2. **Required Evidence of a Fully Funded Project Phase.** The Commission will allocate funds for capital projects only if it finds that the project phase is fully funded, either entirely with RM2 funds or with a combination of RM2 funds and other allocated funds. To receive an allocation of RM2 funds for a jointly funded phase, the other contributing funds must be approved, authorized, assigned and allocated to that phase of work by the authorizing authority. At the request of the project sponsor, the Commission may, on an exception basis, consider allocations of RM2 funding conditioned on the allocation of other funds for that phase. In granting conditional allocations, the Commission will consider the nature and timing of other funding commitments to the requested and future phases of work.

3. **Phase at a Time Allocations.** Allocations will only be made to projects one phase at a time: environmental/project approval, final design, right of way, and construction. Exceptions will be considered on a case-by-case basis; however, the Commission will strive to minimize funding risks in making allocation exceptions. Also, requests to modify task budgets within approved allocation levels must be approved in writing, in advance by MTC staff. However, multiple phases may proceed at the same time.

4. **Environmental Clearance.** RM2 funds will not be utilized for any capital expenditure, either for right of way or construction, until the project has been environmentally cleared and approved by the project sponsor. Pursuant to California Environmental Quality Act Public Resources Code §21000, et seq., all applicants are required to submit a valid environmental document that has been certified by the County Clerk for each project. Please refer to Public Resources Code and Title 14 of the California Code of Regulations for more information. Applicants are urged to refer to the statutory and regulatory sections cited when preparing any environmental assessment under CEQA or NEPA. Applicants should consult their environmental officer for guidance in completion of this requirement. If a project is federally funded or is anticipated to be federally funded, project sponsors must submit approved National Environmental Protection Act documents.

5. **Conditions of Right of Way Allocations.** RM2 funds will be allocated for right of way capital and support only after the project has identified and committed construction capital funds. The Commission will consider exceptions whereupon investment in right of way can be recovered if the project does not go forward. If the Commission approves

an allocation of RM2 funds for advance acquisition of right of way meeting the conditions as outlined above, the project sponsor shall provide that the land is held in escrow until project approval occurs for the transportation improvement. Advance acquisitions made prior to completion of environmental and location processes are not to influence environmental assessment of the project. Note that there are federal and state laws, regulations and policies governing acquisition and relocation activities. It is not intended that the use of RM2 funds shall waive any of the laws, regulations, or policies that may apply.

6. **Deliverable Product.** RM2 funds will be allocated with the specific intent of achieving a deliverable product. The ability of the product to be completed will be taken into consideration when the Commission allocates funds to the project. Any impediments to achieving the specific product shall be brought to the attention to the Commission in the Initial Project Report and through progress reports submitted by the project sponsor. If in the opinion of the Commission, impediments are such that the required product is unachievable, the Commission may withhold allocations, rescind allocations or withhold reimbursements on previously allocated funds. The Commission reserves the right to issue a 30-day stop notice in the event it has to reevaluate the project per S&HC 30914(f).

7. **Complementary Funds Consideration.** Projects with funding from other sources may be given priority if there are pending timely use of funds requirements on the other fund sources.

8. **Complementary Funds Spend Down Rate.** Other fund sources committed to a project phase that are complementary to RM2 funds will be expected to be spent down at an approximate proportional rate to RM2 funds. Exceptions and proposals to consider alternative cash flows from other fund sources must be approved in advance, in writing by MTC staff.

9. **Transit Operating Considerations.** For transit systems, an allocation of funds for capital expenditures, either right of way or construction, may be predicated on an ability to demonstrate that the service meets operating requirements.

Allocation Request Process

Project sponsors or implementing agencies must initiate an allocation request by submitting a draft Initial Project Report and Sponsor/ Implementing Agency Resolution 60 days prior to the required Commission action. Thirty days prior to the Commission action, the project sponsor or implementing agency must submit the completed allocation application package to MTC. The allocation request consists of the following, detailed in Appendix A, and is available on the Internet (as applicable) at: http://www.mtc.ca.gov:

Intent to Request an Allocation (60 days prior to Commission action):

1. Draft Initial Project Report
2. Draft Sponsor/ Implementing Agency Resolution

Allocation Application Package (30 days prior to Commission action):

1. Sponsor/ Implementing Agency Resolution of Project Compliance

2. Opinion of Legal Counsel / MTC Indemnification*
3. Board or Official Governing Body Approved Initial Project Report (IPR)
4. Environmental Documentation
5. Evidence of Allocation and Commitment of Complementary Funds

* Project sponsors have the option of consolidating the 'Opinion of Legal Counsel / MTC Indemnification' within the 'Implementing Agency Governing Board Resolution of Project Compliance'.

Expenditures and Reimbursements

Authority to Expend

The project sponsor must obtain the Commission's approval of the allocation and description of eligible costs prior to incurring costs. Project sponsors shall not receive reimbursement for costs incurred prior to MTC approval of the allocation of funding. Project sponsors shall proceed solely at their own risk in advertising, opening bids, or awarding a contract prior to an allocation of RM2 funds. The advertising, bid opening, or awarding of a contract by the sponsor shall in no way prejudice the Commission into making an allocation they deem unsuitable. Final allocation decisions will be subject to the availability of funds.

If a project or project component is ready for implementation earlier than RM2 funding is available, the sponsor may request an allocation of funds covering eligible expenditures but only with the full understanding that reimbursement will be deferred until RM2 funds are available in accordance with the approved allocation.

Eligible Expenses

To ensure that RM2 funds are put to the most efficient use, limitations on allowable expenses have been placed on environmental, design, right of way, construction, staff support, oversight, consultant services and other aspects of project delivery. Furthermore, agency overhead costs, including administrative support, office equipment, and office leases, shall not exceed the cap as described under "Implementing Agency Costs" below.

Note that for all project phases, RM2 funds are limited to the statutorily authorized amount:

1. **Environmental Studies and Preliminary Engineering**
   Expenses incurred by sponsor staff and consultant staff for environmental study costs, including determination of the appropriate environmental document, preparation of all preliminary engineering for each alternative, including geometric layouts, determination of right-of-way needs, environmental technical studies (such as air, noise, energy, cultural resources and hazardous waste), and all other studies or activities necessary to prepare and to finalize the appropriate environmental document for approval are eligible for reimbursement. Environmental costs eligible for reimbursement shall be limited to the project as described in S&HC Section 30914 (c). Any environmental costs associated with an element of the environmentally scoped project that is beyond the project scope and intent as outlined in S&HC 30914 (c) and approved by the Commission in the IPR is not eligible for reimbursement under RM2.

2. **Design Costs**

RM2 funds are eligible for expenses incurred by sponsor staff and consultant staff for design activities related to the project scope identified in S&HC 30914 (c) and as approved by the Commission in the IPR. These activities include but are not necessarily limited to, preparation of alternative design studies; materials and foundation reports; drainage, hydrology and hydraulic reports; management oversight; surveying and mapping; preparation of the plans, specifications and estimate; preparation of bid documents and files for project; preparation of permit applications and maintenance agreements; coordination of agency reviews and any other activities necessary to prepare final PS&E for bid advertisement and award.

3. **Right-of-Way Acquisition and Utility Relocation**
RM2 funds are eligible for expenses incurred by sponsor staff and consultant staff for all activities related to right-of-way, advanced right-of-way, and hardship acquisitions, including determination of right-of-way needs; title searches; parcel appraisals; hazardous materials disposition; preparation of right-of-way acquisition documents; negotiation with property owners; activities involved with acquiring rights-of-way including condemnation proceedings, right-of-way capital costs, and cost-to-procure impacts related to the acquisition; utility relocation costs.

Services provided for right-of-way activities involved with the property but not necessary for the RM2 project as defined in the scope of work approved by the Commission in the IPR shall be at the expense of the sponsor and borne by non-RM2 fund sources.

If any excess right-of-way is sold, or otherwise disposed of, the value of such property shall be returned to MTC, including any profit realized from the sale of the property based on the prorated percentage of funds MTC contributed to the purchase of the property.

4. **Construction Costs**
RM2 funds are available to cover all construction expenditures for the project including construction capital, management and inspection, surveys, public outreach, and others as appropriate that are part of the scope of work approved by the Commission in the IPR. RM2 funds are eligible for reimbursement of sponsor's management oversight expenses associated with the construction of the project. This would include activities such as construction management, inspection, expenses associated with reviewing proposed change orders, and activities involved with managing the fund sources contributing to the project.

Any questions regarding eligible costs will be resolved in writing by MTC staff.
Capital improvements and vehicle procurements for the implementation of the approved RM2 projects are eligible for construction funds. Vehicles procured with RM2 funds must be operated in revenue service for their useful life, as defined by MTC's Transit Capital Priorities process and criteria program.

5. **Project Sponsor/ Implementing Agency Costs**
The amount for which the project sponsor/implementing agency can be reimbursed will be limited, as described below. In all cases, project sponsor/ implementing agency costs will be reimbursed within the cap of project funds stipulated in RM2. These changes are applicable to expenses beginning July 1, 2005. Prior to July 1, 2005, overhead expenses are not eligible for reimbursement.

a) DIRECT STAFF COSTS. Implementing agency staff costs are eligible, provided costs are directly related to the project tasks. Allowable implementing agency staff costs shall include the actual salary and fringe benefits directly related to the project only.

b) INDIRECT OVERHEAD COSTS. An overhead rate for indirect costs can be assessed on direct staff costs (salary and fringe benefit costs) only. The overhead rate shall be calculated by multiplying total labor cost (salaries and fringe benefits as described in above), by the sponsors' or implementing agencies' overhead rate as approved in its OMB Circular A-87 standard or an equivalent rate accepted by MTC. For projects with multiple project sponsors, the project sponsors must mutually agree to the method and overhead rate being applied to that particular RM2 project. The overhead rate effective July 1 of each year shall be applied for the entire fiscal year. Sponsors and implementing agencies may update the rate as of July 1 of each fiscal year. The amount reimbursable for the overhead rate shall not exceed 50% of the direct staff cost and shall not be leveraged on consultant contract or equipment costs. Project sponsors and implementing agencies must self certify and submit an independent opinion with respect to its agency compliance with OMB Circular A-87 standards and laws.

c) OTHER DIRECT PROJECT COSTS. Other direct costs as approved by MTC.

d) CONSULTANT COSTS. Consultant services directly responsible for delivering the project are eligible. Consultant services shall be listed separately and supported in the invoice submittal to MTC.

6. Miscellaneous Costs

The costs of fees from other agencies, including permit fees, or reimbursement for review or oversight costs needed for the project are eligible costs. However, the cost of permits or fees from the sponsor will not be eligible. Utility relocation costs are eligible for reimbursement according to previous agreements establishing rights for those utilities. The costs for specialized equipment for testing, analysis or production of documents for project-related work are also eligible.

Invoicing and Reimbursements

All eligible costs shall be invoiced on a reimbursable basis. Sponsors are encouraged to invoice quarterly and not more frequently than monthly. Any exceptions for supplemental payments must be approved in advance by MTC. For each fiscal year in which expenditures are incurred, sponsors should invoice at least once in that fiscal year. Invoices shall include only eligible costs and must show that the RM2 and matching fund sources are reimbursed and drawn down at approximately the same rate as the RM2 funds. Costs shall be accounted for in the invoice, sufficient to detail services performed with respect to the project scope as approved by MTC and payments made. An invoice format is provided to sponsors by MTC and shall include appropriate supporting reports from the sponsoring agency's general ledger. Approval of invoices shall be contingent on the timely submittal of Progress Reports. In the event such Progress Reports are not complete and current, approval of invoices shall be withheld until an acceptable Progress Report is submitted. Final reimbursement of funds will be subject to review of the delivered

useable/ operable phase or segment and project close out procedures except if all the funds are used before project closeout.

MTC has implemented a few changes in invoicing procedures effective March 1, 2010, to reduce turnaround time for invoice processing, improve invoice tracking, and improve progress on projects entering or already in more complex and capital intensive phases. These changes include a) revisions in the standard invoicing forms on all projects; b) new invoicing forms requiring additional information on select projects in (or entering) complex and capital intensive phases; c) electronic invoices to be provided along with the usual hard copies on the select projects. Availability for Audits
Sponsors of capital projects shall be available for an audit as requested by MTC.

Timely Use of Funds Provisions and Deadlines

The majority of fund sources used for transportation improvements are bound by timely use of funds deadlines. Failure to meet specific funding milestones can result in the funds being deleted from the project. In the event of funding loss due to the sponsor's inability to meet timely use of funds provisions, the sponsor must demonstrate that the project or project phase is still deliverable.

Generally, project sponsors should encumber funds within one year of receiving an allocation. With respect to project phase milestones 1) sponsors should not take more than 3 years to complete the environmental document and clearance process for environmental phase allocations and 2) Right of Way agreements should be finalized within two years of the allocation of funds for right of way acquisition. Deviations from these timely use of funds guidelines should be highlighted in the progress reporting process and sponsors are required to provide an explanation for this lapse. Amendments, adjustments and extensions should be requested in writing and must be approved, in writing, by MTC staff.

Project sponsors must demonstrate and certify that they can meet all of the timely use of funds deadlines as part of the financial plan included in the Initial Project Report for the various fund sources on the project. It is encouraged that project sponsors follow the provisions of the Regional Project Delivery Policy (MTC Resolution No. 3606).

Project Cancellation
If the RM2 project or project phase is not completed, the project sponsor shall repay MTC any RM2 funds expended above the proportionate share of eligible costs for the project or project phase. With regard to vehicle procurements, removal from revenue service or sale of the vehicle prior to the end of the vehicle's useful life will result in repayment to MTC and the RM2 program for the depreciated value of the vehicle at the time of removal or sale.

Following the Commission consultation with the sponsor, public hearing and determination to redirect funds from the project, payment to MTC shall be made with interest and shall be made in accordance with a negotiated repayment schedule, not to exceed 24 months. MTC shall withhold funds due the sponsor for any missed payments under the negotiated agreement.

Other Project Cost Conditions

Maintenance and Operating Costs

Pertaining to capital projects outlined in Streets and Highways Code Section 30914 (c), it is the obligation of the project sponsor to arrange for all costs to operate and maintain the improvement constructed under RM2. No costs will be considered as eligible for reimbursement out of RM2 funds to operate or maintain the facility or any portion of the facility. Requests for any initial startup costs as part of the construction contract must be approved in writing by MTC staff.

Escalated Costs

RM2 funding for any individual project or program shall be limited to the amount designated in the RM2 legislation without escalation notwithstanding the provisions of Section 30914(f). If funding beyond RM2 amounts are required to complete the project phase the sponsor is responsible for securing the additional funding prior to allocation of RM2 funds.

Cost Increases

In cases where more than RM2 funds are needed to complete a project phase, it is the sole responsibility of the sponsor to secure the additional necessary funding. In the event that the sponsor cannot secure additional funding, and/or the project cannot be segmented, phased, or rescoped to meet the available funds and still conform to the intent of the legislation and voter mandate, the Commission shall consult with the program or project sponsor, and conduct a public hearing as outlined in S&HC Section 30914(f). After the hearing, the Commission may vote to modify the project's or program's scope, decrease its level of funding, or reassign all of the funds to another regional project or program within the same corridor. If the existing project is removed from the RM2 program, MTC and the sponsor agree to share expenditures of eligible costs to date in accordance with the allocation conditions accompanying the project allocation.

Contract change orders or cost increases that may arise once the contract has been awarded that are in excess of $250,000 or 20% of the project cost, whichever is less, shall be noticed to MTC as soon as those increases have been identified or no later than the next scheduled Progress Report. The project sponsor will provide assurance that the project phase the Commission allocated to is still deliverable. A revised financial plan for the project shall be included as part of the submitted Progress Report.

The sponsor is not authorized to claim any RM2 funds in excess of the allocation amount approved by the Commission.

In no case shall the financial responsibility of BATA and/or MTC regarding RM2 funds exceed the amount designated in S&HC 30914 (c) and (d) unless the Commission reassigns funds.

Cost Savings and Cost Increases at Bid Opening

At the time of bid opening, the responsible low bid may exceed the funding commitment of RM2 funds as well as other fund sources. If in the event of construction budget exceedences, the sponsor may seek an allocation of any remaining RM2 funds not yet allocated to the project only if other funds are committed in sufficient amounts to deliver the construction phase. If all available fund sources are not sufficient to award the project, the sponsor shall consult with MTC on suitable measures to enable the project to proceed, including but not limited to downscoping the project and rebidding, providing additional clarity to enable a more cost-effective bid, or seeking additional revenues. In no case shall the sponsor exceed the levels of RM2 funding allowable under Street and Highway Code Section 30914(c). In utilizing all available funding from all sources for contract award, the sponsor shall consult with MTC staff on the likelihood of

cost increases during construction and what contingencies are available to address these costs, including the presentation of a risk management plan for constraining construction expenditures to available revenues. In the event of projected cost savings at bid opening, the proportional share of RM2 funds will be rescinded and shall be available to the sponsor for any cost increases associated with the project after construction award until the time of final close-out of the bid phase, including the settlement of all claims. Any requests for exceptions will be considered on a case-by-case basis.

Monitoring and Reporting Requirements

Annual Updates

On an annual basis, sponsors and implementing agencies may be asked to notify the Commission of anticipated allocation requests for subsequent fiscal year (12 months). The Commission's capacity to allocate RM2 funds depends in part on the information provided by the sponsors and the failure to comply may result in the sponsor's allocation request being deferred until such time when RM2 funds become available.

Semi-annual Progress Reports

As directed by MTC, sponsors and/or implementing agencies will provide MTC with a Semi-Annual Progress Report. Semi-annual periods begin on July 1 and January 1 of any given fiscal year. These reports are meant to update MTC on the project's scope, cost, and schedule. These reports shall include the following:

- Status: the phase currently underway and the progress since the last report; major meetings and decisions on the project; any significant accomplishments; any setbacks to the project. The sponsor should note whether they anticipate any problems, and what area these problems exist in.
- Expenditures to date: these will be specified as expenditures since the prior reporting, and will include all funding sources including RM2. These will be in sufficient detail to determine that they are eligible expenses.
- Schedule changes: any changes in the project schedule as outlined and approved in the IPR and the consequences of those changes, particularly related to project costs. If the schedule has been modified, a revised schedule must be attached.
- Cost changes: all changes should be noted in the Progress Report; changes greater than 20% or $250,000 dollars, whichever is less, must be accompanied by a detailed explanation of what options the sponsor has considered to manage the change. If costs have changed by more than $250,000 or 20%, whichever is greater, a revised funding plan and cash flow schedule must be attached.
- Potential Claims: If RM 2 funds are utilized for the construction phase of the project, then the sponsor must certify if there are any Notices of Potential Claim. If they exist, a summary of such notices as well as the likely cost or schedule impact shall be included. Upcoming allocation requests: Sponsors are requested to provide information on upcoming allocation requests; MTC's capacity to allocate RM2 funds depends in part on the information provided by the sponsors and the failure to comply may result in the sponsor's allocation request being deferred until such time when RM2 funds become available.
- Status of Project Specific Conditions: If project specific conditions were approved as part of the allocation, the sponsor must address the status of meeting the condition.
- Failure to provide the report and required information shall be ground for MTC to withhold reimbursements until a report is submitted and accepted by MTC.

Project Close Out
The Implementing Agency shall be responsible for notifying MTC of the completion of project, prior to submitting the final invoice for the project. After notification, MTC staff will provide the sponsor with the appropriate forms to close out the project, specific to the project type. The final close-out procedure for a project may include sponsor provided documentation verifying the completion of the project, summarizing project costs and expenditures with a reconciliation of balances remaining on the project, transmittal of final deliverables, and on-site field visits. For projects that expend all of the RM 2 funds before completing the overall project as stipulated in statute, MTC has the discretion to continue requesting progress reports on the project. This will be considered on a case-by-case basis. In case of RM2 projects that include complementary bridge toll funds (RM1/AB1171) that have not been expended as yet, sponsors will be expected to continue to provide progress reports on the status of these projects.

At Risk Report/Cooperation with Consultants
Upon receipt of the sponsor-submitted semi-annual progress reports, MTC shall prepare an At-Risk Report (Report) for submittal to the Commission that outlines critical scope, cost, or schedule changes to the project. The sponsor shall cooperate with MTC or any authorized agent of MTC in the preparation of the Report. The report will be presented to the Commission to determine the ability of the project or project phase to be delivered, per Section 30914(f) of the S&HC. Regarding scope changes, any changes resulting in changes in costs or schedule should be delineated.

Consistency with Other Plans and Policies

RTP Consistency
Capital projects seeking allocations must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires be consistent with federal planning and programming requirements.

CMP Consistency
For capital projects, it is required that all committed project phases be included in a Countywide Plan. The phase of the project requiring funding shall be in an approved County Congestion Management Plan (CMP) or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to seeking allocation of RM2 funds. For multi-county projects, the project must be in the countywide plans and CMP/CIP of the counties affected by the project.

TIP and Air Quality Conformity
Federal laws governing requirements for regions to achieve or maintain federally mandated air quality standards require that all regionally significant transportation improvements be part of a required regional conformity finding. This conformity finding is performed by MTC, the Metropolitan Planning Organization (MPO) for the Bay Area, in concert with the Bay Area Air Quality Management District and the Association of Bay Area Governments and must state that if all the transportation improvements proceed, air quality standards can be reached.

A project is regionally significant if it increases transit or highway capacity or offers an alternative to established regional highway travel. Projects must be included in the conformity analysis, regardless of their fund source. To that extent, all regionally significant RM2 projects must be included in the conformity analysis for the Regional Transportation Plan (Plan) and

Transportation Improvement Program (Program). Project sponsors are responsible for updating the TIP listing for their projects following an RM2 allocation or rescission or other significant change to the project. Project specific air quality conformity analysis and findings are the sole responsibility of the project sponsor.

Accommodations for Bicyclists, Pedestrians and Persons with Disabilities
Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. As with many existing projects in the Bay Area, an RM2 project is likely to have a number of fund sources that make it whole. A project must incorporate the appropriate policy associated with the fund sources that make up the project. Federal, State, and regional policies and directives regarding non-motorized travel include the following:

Federal Policy Mandates
TEA-21 states that, "Bicycle transportation facilities and pedestrian walkways shall be considered, where appropriate, in conjunction with all new construction and reconstruction of transportation projects, except where bicycle and pedestrian use are not permitted" (Section 1202).

State Policy Mandates
Caltrans Deputy Directive 64 (http://www.dot.ca.gov/hq/tpp/offices/bike/DD64.pdf), states: "the Department fully considers the needs of non-motorized travelers (including pedestrians, bicyclists, and persons with disabilities) in all programming, planning, maintenance, construction, operations, and project development activities and products. This includes incorporation of the best available standards in all of the Department's practices. The Department adopts the best practices concept in the US DOT Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure."

Routine Accommodations Policy
MTC Resolution 3765 requires agencies applying for regional transportation funds to consider the needs of bicyclists and pedestrians in the process of planning and designing a project.

Resolution 3434 TOD policy
In order to support the development of communities around new transit lines and stations, MTC adopted a Transit-Oriented Development (TOD) Policy that applies to key transit extension projects in the Bay Area. RM2 projects, as appropriate shall comply with the TOD policy.

Intelligent Transportation Systems Policy
In collaboration with federal, state, and local partners, MTC is developing the regional Intelligent Transportation Systems (ITS) architecture. MTC, state and federal agencies will soon require projects funded with federal highway trust funds to meet applicable ITS architecture requirements. Through the on-line WEBFMS application process, project sponsors will identify the appropriate ITS category, if applicable. Information on the regional ITS architecture can be found at: http://www.mtc.ca.gov/planning/ITS/index.htm.

Transit Coordination Policy
Res. 3866 (Transit Coordination Implementation Plan)

Res. 3866 establishes coordination requirements for Bay Area transit operators to improve the transit customer experience when transferring between transit operators and in support of regional transit projects like Clipper (formerly TransLink®), 511 and the Hub Signage Program. Any agency that is an eligible recipient of funds subject to allocation or programming by MTC – including RM2 capital funds – is subject to Res. 3866 requirements. If a transit operator fails to comply, MTC may invoke the provisions of MTC Resolution No.3866, which could affect access to funds.

Traffic Operations System Policy for Major New Freeway Projects

It is the Commission's policy that all major new freeway projects included in the Transportation 2030 Plan and subsequent regional transportation plans shall include traffic operations system (TOS) elements to effectively operate the region's freeway system and coordinate with local transportation management systems. MTC is requiring that all applicable RM2 projects conform to the regional policy. For purposes of this policy, a "major freeway project" is a project that adds lanes to a freeway, constructs a new segment of freeway, modifies a freeway interchange, or reconstructs an existing freeway. A project is considered "new" if it does not have an approved Project Study Report (PSR) by December 2004. Caltrans shall operate, manage, maintain and replace the TOS elements installed within its right-of-way.

Section 3 – Operating Program Guidance

Background

Regional Measure 2 (RM 2) will provide operating support for a number of transit services. These projects are identified in Section 30914(d) of the California S&HC.

On October 13, 2004, the Federal Highway Administration with concurrence of the Federal Transit Administration approved the use of toll revenues from the four non-federalized Bay Area bridges for funding transit operations through the RM2 program. This decision allows MTC to begin allocating operating funds to the projects that were approved as part of RM2.

RM2 funds for operating assistance will be made available annually in accordance with the policies and procedures defined in this section.

Allocation Process

Prior to the beginning of each fiscal year MTC will adopt a project specific budget for RM 2 operating funds. It is against this budget, subject to meeting eligibility requirements and fund availability, that project sponsors should request operating allocations.

In S&HC 30914.5(b), MTC is directed to execute an operating agreement with sponsors seeking RM2 funding covering operating assistance for transit services. These agreements are to be executed through a process of project sponsor governing board certification followed by Commission allocation action. The annual funding agreement will consist of approval by both project sponsors and MTC of the terms outlined in the sponsor Implementing Agency Resolution and Operating Assistance Proposal (OAP). The Implementing Agency Resolution should provide evidence of a full funding plan, adherence to performance measures, local agreement to conditions, local certification of absence of legal impediments and local indemnification of the Commission and adherence to the planned activity as outlined in the OAP.

Environmental Documentation

Pursuant to California Environmental Quality Act (CEQA) Public Resources Code §21000, et seq., all applicants are required to indicate that an environmental document has been filed with the County Clerk for each project in their annual application. Please refer to Public Resources Code and Title 14 of the California Code of Regulations for more information. At the time of service initiation, an applicant may submit a request for RM2 funding to cover the costs of the environmental assessment for the RM2 route. Applicants are urged to refer to the statutory and regulatory sections cited when preparing the environmental assessment documents. Applicants should consult their environmental officer for guidance in completion of this requirement. An application for operating funds solely to maintain existing transit services normally will be a Class I categorical exemption under CEQA, and requires only a Notice of Exemption. Applicants should check with their environmental officer for further assistance.

Allocation Applications

An allocation request will be considered complete and ready for consideration by the Commission when all of the component elements to the request are submitted and approved for forwarding to the Commission by MTC staff. Each request must be submitted using the most current forms available on the MTC website. Most operating project sponsors will prepare their requests as part of an application for Transportation Development Act funds submitted to MTC annually. For project sponsors that do not receive those funds, applications for operating assistance should be submitted sixty days prior to the expected allocation date and should include the following material:

1. Cover letter detailing the allocation request;
2. Implementing Agency Resolution; *
3. Operating Assistance Proposal;
4. Opinion of Legal Counsel; *
5. Environmental documentation;
6. Certifications and assurances; and
7. Fiscal audit.

* Project sponsors have the option of consolidating the 'Implementing Agency Resolution' and the 'Opinion of Legal Counsel.'

Appendix B details the formats for the Implementing Agency Resolution, Operating Assistance Proposal, the Opinion of Legal Counsel, and the Certifications and Assurances. RM2 operating project sponsors not eligible for Transportation Development Act funding should contact MTC for the most recent Operating Assistance Proposal.

Staff will review the operating assistance request to ensure that the project request meets eligibility per S&H code 30914(d), compliance with financial audit requirements, satisfaction of established performance measures, and other requirements outlined in this policies and procedures manual.

Eligibility

Reimbursable Activities

Transit services eligible to receive operating assistance under RM2 are those projects identified under Section 30914(d) of the S&HC. These projects and services have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors. Due to other federal, state and regional requirements, full eligibility for the receipt of RM2 funding is not determined until approval of the funding allocation by the Commission.

Operating costs included in the operating expense object classes of the uniform system of accounts, exclusive of depreciation and amortization expenses and direct costs for providing charter service, are eligible for RM2 operating assistance. Eligible expenses for operating follow the eligibility criteria for Transportation Development Act funds.

Service initiation costs for RM2 routes – including preparation of environmental clearance – are an eligible expense.

No operator or transit service claimant shall be eligible to receive moneys during the fiscal year from RM2 operating assistance for operating costs that exceed its actual operating cost for the service identified in S&HC 30914(d) or subsequently amended through an action by the MTC Commission (including payment for disposition of claims arising out of the operator's liability) in the fiscal year less the

1. amount of fare revenues received during the fiscal year.

For those cases where the RM2 service is a portion of an operator's service, the methodology used to derive the costs and revenues for the route must be specified at the time of allocation. Any change in the methodology must be approved by MTC staff in advance and may require a revision to the allocation.

The period of eligibility for operating expenses is for the fiscal year for which the allocation is made. The term fiscal year has reference to the year commencing July 1 and ending June 30 of the following year.

Notwithstanding the provisions listed above for transit operating, for purposes of TransLink® and Water Transit Authority administrative expenses, the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) have determined that planning activities are eligible for reimbursement from toll revenues. Allocation for planning activities will be in accordance with federal guidance and may need to be reviewed by federal agencies in advance of the allocation to confirm that the planned activities are Title 23 eligible.

Consistency with Plans

In addition to the eligibility requirements outlined above, applicants must demonstrate consistency with regional plans and federal planning requirements including but not limited to:

- MTC Regional Transportation Plan: For operations projects, applicants should provide the necessary project reference or information to verify that their project is compatible with the RTP.
- Applicant's Short Range Transit Plan (SRTP) or Countywide Plan: For operations projects, applicants should reference how the project is reflected in their Short Range Transit Plan or County-wide Five Year Plan. All transit operators that receive operating assistance shall prepare a Short Range Transit Plan, or planning/budget document equivalent for their system, including reference to the planned use of RM2 bridge tolls as part of their overall operations. Failure to complete an SRTP could delay an allocation or make a project sponsor ineligible for RM2 operating assistance.
- Air Quality Conformity: An applicant's project must be consistent with the TIP for which MTC has completed an air quality conformity assessment.

Disbursement of Funds

After approval by the Commission, allocations of RM2 operating funds will be disbursed in accordance with the terms and conditions established in the allocation instructions by MTC. Generally, allocation instructions will direct payments to be made monthly in advance, subject to quarterly adjustments to reflect actual expenses against monthly invoices. Sponsors are required to submit the final fiscal year invoice by July 30th. All disbursements are subject to the availability of bridge toll revenues and determination of eligible expenses. Specific invoicing procedures will be provided to the sponsor.

Disbursement of RM2 operating assistance may be delayed, cancelled, or adjusted based on MTC audit findings of ineligible expenses. Delinquency of report submittals or failure to comply with other RM2 operating assistance conditions could be grounds for withholding disbursement of funding or rescinding allocations.

Monitoring Requirements

Annual Update of Operating Assistance Plan

Streets and Highway Code 30914.5(b) requires that MTC enter into an agreement with all recipients of RM2 operating assistance that shall include, at a minimum, a fully funded operating plan that conforms to and is consistent with the adopted performance measures. The agreement shall also include a schedule of projected fare revenue and any other operating revenues needed to demonstrate that the service is viable in the near-term and is expected to meet the adopted performance measures. These agreements are to be executed through a process of project sponsor governing board certification followed by Commission allocation action as discussed above in Allocation Process.

Applicants for RM2 operating assistance will use the Operating Assistance Plan (OAP) to demonstrate a fully funded operating plan that is consistent with MTC adopted performance measures. The submittal shall be due May 1st for July allocations, or on a rolling basis thereafter, and be updated to reflect audited actual expense data as well as adjusted current year financial and operating data statistics, as appropriate.

The OAP required information is included in Appendix B or in the most current Transportation Development Act funding application. RM2 operating project sponsors not eligible for Transportation Development Act funding should contact MTC for the most recent OAP.

Performance Measures

Prior to allocation of revenue for transit operating assistance under subdivision (d) of Section 30914 of the S&HC, the MTC shall adopt performance measures related to farebox recovery, ridership, and other performance measures as needed. The performance measures are included in Appendix C, Part 5. Any request to change approved performance measures, or the recording and reporting of those measures, must be approved in advance and in writing by MTC staff.

The performance measures, as developed in concert with the affected transit operators and the Advisory Council and as approved by the Commission, will effect allocations starting in FY 2006-07. The applicable year for calculating performance measures will be two years in arrears of a requested allocation year. In other words, for FY 2006-07 operating allocations, the Commission will base compliance with the performance measures on FY 2004-05 operating performance.

An independent auditor in the fiscal audit, as discussed below shall verify the certification of compliance with adopted performance measures. Failure to report and meet performance measures established by MTC may be grounds for delays or adjustment to future allocations.

Fiscal Audit
As established in S&H Code 30914.5(c), prior to annual allocation of transit operating assistance by the MTC, the MTC shall conduct an independent audit that contains audited financial information, including an opinion on the status and costs of the project and its compliance with the approved performance measures. At a minimum, the fiscal audit will provide the auditor's professional opinion as to whether RM2 operating assistance was spent on eligible costs and performance measures status.

All fiscal and accounting records and other supporting papers shall be retained for a minimum of four years following the close of the fiscal year of expenditure.

Cooperation with MTC and MTC's Consultants
Recipients of RM2 operating assistance funds agree to work cooperatively with MTC staff and MTC consultants to provide operating statistics that will be used to monitor the effectiveness of the RM2 operating program and consistency with MTC adopted performance measures. This includes but is not limited to assisting in the collection of survey data, on-board vehicle counts, and making available relevant ridership and costs information. It is important to note that, in most cases, these performance measures will be route-specific and therefore require isolation of the operating cost, passenger boardings, and fare revenue for the route or line for which RM 2 operating assistance is secured.

APPENDIX A – CAPITAL ALLOCATION REQUEST FORMS

PART 1: RM2 IMPLEMENTING AGENCY RESOLUTION OF PROJECT COMPLIANCE

Resolution No.

Implementing Agency:

Project Title:

WHEREAS, SB 916 (Chapter 715, Statutes 2004), commonly referred as Regional Measure 2, identified projects eligible to receive funding under the Regional Traffic Relief Plan; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is responsible for funding projects eligible for Regional Measure 2 funds, pursuant to Streets and Highways Code Section 30914(c) and (d); and

WHEREAS, MTC has established a process whereby eligible transportation project sponsors may submit allocation requests for Regional Measure 2 funding; and

WHEREAS, allocations to MTC must be submitted consistent with procedures and conditions as outlined in Regional Measure 2 Policy and Procedures; and

WHEREAS, (agency name) is an eligible sponsor of transportation project(s) in Regional Measure 2, Regional Traffic Relief Plan funds; and

WHEREAS, the (project title) is eligible for consideration in the Regional Traffic Relief Plan of Regional Measure 2, as identified in California Streets and Highways Code Section 30914(c) or (d); and

WHEREAS, the Regional Measure 2 allocation request, attached hereto in the Initial Project Report and incorporated herein as though set forth at length, lists the project, purpose, schedule, budget, expenditure and cash flow plan for which (agency name) is requesting that MTC allocate Regional Measure 2 funds; now, therefore, be it

RESOLVED, that (agency name), and its agents shall comply with the provisions of the Metropolitan Transportation Commission's Regional Measure 2 Policy Guidance (MTC Resolution No. 3636); and be it further

RESOLVED, that (agency) certifies that the project is consistent with the Regional Transportation Plan (RTP); and be it further

RESOLVED, that the year of funding for any design, right-of-way and/or construction phases has taken into consideration the time necessary to obtain environmental clearance and permitting approval for the project; and be it further

RESOLVED, that the Regional Measure 2 phase or segment is fully funded, and results in an operable and useable segment; and be it further

RESOLVED, that (agency name) approves the updated Initial Project Report, attached to this resolution; and be it further

RESOLVED, that (agency name) approves the cash flow plan, attached to this resolution; and be it further

RESOLVED, that (agency name) has reviewed the project needs and has adequate staffing resources to deliver and complete the project within the schedule set forth in the updated Initial Project Report, attached to this resolution; and, be it further

RESOLVED, that (agency name) is an eligible sponsor of projects in the Regional Measure 2 Regional Traffic Relief Plan, Capital Program, in accordance with California Streets and Highways Code 30914(c); and be it further

RESOLVED, that (agency name) is authorized to submit an application for Regional Measure 2 funds for (project name) in accordance with California Streets and Highways Code 30914(c); and be it further

RESOLVED, that (agency name) certifies that the projects and purposes for which RM2 funds are being requested is in compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), and with the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.) and if relevant the National Environmental Policy Act (NEPA), 42 USC Section 4-1 et. seq. and the applicable regulations thereunder; and be it further

RESOLVED, that there is no legal impediment to (agency name) making allocation requests for Regional Measure 2 funds; and be it further

RESOLVED, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

RESOLVED, that (agency name - include for transit projects/sponsors only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and be it further

RESOLVED, that (agency name) indemnifies and holds harmless MTC, its Commissioners, representatives, agents, and employees from and against all claims, injury, suits, demands, liability, losses, damages, and expenses, whether direct or indirect (including any and all costs and expenses in connection therewith), incurred by reason of any act or failure to act of (agency name), its officers, employees or agents, or subcontractors or any of them in connection with its performance of services under this allocation of RM2 funds. In addition to any other remedy authorized by law, so much of the funding due under this allocation of RM2 funds as shall reasonably be considered necessary by MTC may be retained until disposition has been made of any claim for damages, and be it further

RESOLVED, that (agency name) shall, if any revenues or profits from any non-governmental use of property (or project) that those revenues or profits shall be used exclusively for the public transportation services for which the project was initially approved, either for capital improvements or maintenance and operational costs, otherwise the Metropolitan Transportation Commission is entitled to a proportionate share equal to MTC's percentage participation in the projects(s); and be it further

RESOLVED, that assets purchased with RM2 funds including facilities and equipment shall be used for the public transportation uses intended, and should said facilities and equipment cease to be operated or maintained for their intended public transportation purposes for its useful life, that the Metropolitan Transportation Commission (MTC) shall be entitled to a present day value refund or credit (at MTC's option) based on MTC's share of the Fair Market Value of the said facilities and equipment at the time the public transportation uses ceased, which shall be paid back to MTC in the same proportion that Regional Measure 2 funds were originally used; and be it further

RESOLVED, that (agency name) shall post on both ends of the construction site(s) at least two signs visible to the public stating that the Project is funded with Regional Measure 2 Toll Revenues; and be it further

RESOLVED, that (agency name) authorizes its (Executive Director, General Manager, or his/her designee) to execute and submit an allocation request for the (environmental/ design/ right-of-way/ construction) phase with MTC for Regional Measure 2 funds in the amount of ($_____), for the project, purposes and amounts included in the project application attached to this resolution; and be it further

RESOLVED, that the (Executive Director, General Manager, or his/her designee) is hereby delegated the authority to make non-substantive changes or minor amendments to the IPR as he/she deems appropriate.

RESOLVED, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the (agency name) application referenced herein.

PART 2: RM2 SAMPLE OPINION OF LEGAL COUNSEL

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Part 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the Regional Measure 2; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided below.

(Date)

To: Metropolitan Transportation Commission
Fr: (Applicant)
Re: Eligibility for Regional Measure 2 funds

This communication will serve as the requisite opinion of counsel in connection with the allocation of (Applicant) _____ for funding from Regional Measure 2 Regional Traffic Relief Plan made available pursuant to Streets and Highways Code Section 30914(c)(d) for (Project Name) _____

1. (Applicant)_____ is an eligible sponsor for the Regional Measure 2 funding.
2. (Applicant) _____ is authorized to submit an allocation request for Regional Measure 2 funding for (project) _____
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) _____ making applications for Regional Measure 2 funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation that might in any way adversely affect the proposed projects, or the ability of (Applicant) _____ to carry out such projects.

Sincerely,

_____
Legal Counsel

_____
Print name

PART 3: RM2 INITIAL PROJECT REPORT (IPR) FORMAT

Section 30914(e) of the California Streets and Highways Code requires that project sponsors with projects listed in the capital program of the Regional Traffic Relief Plan (Section 30914(c)) submit an Initial Project Report (IPR) to the Metropolitan Transportation Commission (MTC) by July 1, 2004. Furthermore, MTC requires the project sponsor to submit an updated report along with any funding allocation request. The governing board of the agency submitting the allocation request must approve the updated IPR before MTC can approve the IPR, or allocation of funds. MTC will approve the report, or updated report, in conjunction with the funding allocation.

The report shall include all information required to describe the project in detail, including identification of lead sponsor, the status of any environmental documents relevant to the project, additional funds beyond RM2 required to fully fund the project, the amount, if any, of funds expended to date, a summary of any impediments to the completion of the project, a detailed financial plan, and notification of whether Regional Measure 2 (RM2) funds will be needed within the subsequent 12 months (following fiscal year). The Initial Project Report is outlined below, with the electronic template available at www.mtc.ca.gov.

- **Project Description and Sponsor Information,** including identification of lead sponsor in coordination with all identified sponsors, and identification of agency to seek and receive allocations from MTC,
- **Project Delivery Information,** including summary of any impediments to the completion of the project, status of any environmental documents relevant to the project, status of the project phases and delivery milestones, and discussion of the operability of the project once competed.
- **Project Budget Information**, including the total budget for the project, and any prior expenditure.
- **RM2 Funding Need Information,** including RM2 expenditure (cash flow) plan, status of any prior RM2 expenditures, and identification of any RM2 funding needs for the next fiscal year, and beyond.
- **Project Funding Information**, including identification of committed funding to the project, any uncommitted funding required to fully fund the project, and segregation of the RM2 deliverable segment if different from the total project. Any timely use of funds requirements must be noted and incorporated into the overall funding schedule of the financial plan. The RM2 phase or component must be fully funded with committed funds, and it must be demonstrated that the RM2 funded phase or component results in a useable or operable segment. For transit projects resulting in expanded or enhanced services, the sponsor shall document the financial capacity to operate and maintain those services for a period of at least 10 years following the year services are initiated.
- **Allocation Budget Plan.** The sponsor must complete an Estimated Budget Plan (EBP) outlining the agency costs, consultant costs, and any other costs associated with the delivery of the Work Plan element for the allocation request The EBP should represent both the RM2 funds as well as the complementary funds (for projects with complementary fund sources) for the entire work scope.

- **Governing Board Action,** including verification of approval of the IPR. The IPR must be approved by the board or governing body of the agency responsible for preparing and submitting the IPR and requested the allocation of RM2 funding prior to MTC approval of the IPR and allocation of funds. Verification of the governing board action should be attached to the IPR.

- **Agency Contact and IPR Preparation Information**, including agency and project manager, and IPR preparer contact information, and date the report was prepared or updated.

PART 4: ENVIRONMENTAL DOCUMENTATION

Pursuant to California Environmental Quality Act Public Resources Code §21000, et seq., all applicants are required to submit a valid environmental document that has been certified by the County Clerk for each project. Please refer to Public Resources Code and Title 14 of the California Code of Regulations for more information. Applicants are urged to refer to the statutory and regulatory sections cited when preparing any environmental assessment under CEQA or NEPA. Applicants should consult their environmental officer for guidance in completion of this requirement. If a project is federally funded or is anticipated to be federally funded, project sponsors must submit approved National Environmental Protection Act documents.

Part 5: RM2 Evidence of Allocation and Commitment of Complementary Funds

Applicants are required to submit evidence of the commitment of complementary funds for the phase for which the applicant is seeking an allocation of RM2 funds. Copies of the applicable resolution(s) and/or governing body actions allocating the funds to the phase, within the years displayed in the cash flow plan, must be attached to the allocation request. The applicant must demonstrate that the phase is entirely funded prior to the allocation of RM2 funds. Part 6: RM2

Allocation Work Plan

The implementing agency must submit a detailed Work Plan covering the deliverables for which a RM2 funding allocation is being sought. The Work Plan should be consistent with the parameters included in the Board approved Initial Project Report, and must have sufficient detail regarding each deliverables' scope, cost and schedule. The elements of the work plan will serve as the basis of MTC staff review of project sponsor invoices. MTC staff will work with sponsors to ascertain the work breakdown level appropriate to the funding request being made. The Work Plan must be submitted with the allocation application request.

APPENDIX B – OPERATING ALLOCATION REQUEST FORMS

PART 1: CERTIFICATIONS AND ASSURANCES

(Sample form is available at www.mtc.ca.gov)

Applicant certifies that, if RM-2 funding was received in the prior year, it has included the RM-2 costs and revenues in its general fiscal audit for that year. Applicant also assures that it will include the RM-2 costs and revenues in its general fiscal audit for the year in which funds are requested.

Applicant certifies to one of the following:

1) For bus operators, that it has submitted a copy of the California Highway Patrol (CHP) certification, which was issued within the last 13 months indicating compliance with California Vehicle Code §1808.1 and Public Utility Code §99251 (CHP "pull notice system and periodic reports").
2) For rail or ferry operators, it certifies that it is current on all inspections and certifications required by federal and state agencies.

Applicant for RM2 funds certifies that it has current SB 602 "joint fare revenue sharing agreements" in place with transit operators in the MTC region with which its service connects, and that it has submitted valid and current copies of all such agreements to MTC.

Applicant also agrees to participate in the Integrated Fare Structure and Transit Connectivity studies authorized in SB 916 (Chapter 715, Statutes of 2004).

Applicant for funds certifies that it complies with MTC's Transit Coordination Implementation Plan (MTC Resolution No. 3866, revised) and with Public Utilities Code §99314.5(c) and §99314.7).

The applicant may be asked to certify such other assurances as MTC may deem appropriate consistent with the RM2 Policies and Procedures outlined above.

PART 2: RM2 OPERATING ASSISTANCE PROPOSAL (OAP)

The Operating Assistance Proposal (OAP) includes the information outlined below. The format for sponsors to complete is available to be downloaded at www.mtc.ca.gov.

1. **Description of Proposed Service**
   a. Map of service area.
   b. Description of markets being served (both travel demand as well as inter-operator connections)
   c. Description of methodology used to estimate ridership/assign ridership
2. **Service Parameters**
   a. Service start/end times.
   b. Headways in the peak and off-peak
   c. Vehicles in service during the peak and off-peak
   d. Daily revenue vehicle hours
3. **Budget Information**
   a. Basis of expense projections, i.e., description of cost model.
   b. Basis of fare revenue projections (assumptions on fare structure, including any increases over the five years, and resulting average fare).
   c. Description of other revenues – if subsidies from other agencies are included, describe status of commitments.
   d. Five-year projections and audited past actual and adjusted current year information for operating cost and revenue. Revenue projections should disaggregate fare revenue, TDA, local sales tax, private sector contributions, and other subsidies.
4. **Operating Data and Performance Measures**
   a. Five-year projections and audited past actual and adjusted current year information for service parameters including annual ridership, weekday ridership, revenue vehicle hours, and revenue miles.
   b. Five-year projections and audited past actual and adjusted current year information for performance measures including farebox recovery ratio, passengers per revenue hour, cost per rider, subsidy per rider, and cost per revenue hour.
5. **Implementation Schedule and Status Report**
   a. Proposed start date
   b. Environmental clearance – status and schedule
   c. Vehicles/other capital – status and procurement schedule for incremental capital needed to support RM2 funded operations.
   d. If partnering with other agencies, provide letters of support from partners.
   e. Description of potential implementation issues
   f. Once operational, please provide a status report on the implementation to-date as well as any planned schedule adjustments or other service changes in the coming year.

PART 3: SAMPLE RM2 OPERATING BOARD RESOLUTION

Resolution No.

Implementing Agency:

Project Title:

WHEREAS, SB 916 (Chapter 715, Statutes 2004), commonly referred as Regional Measure 2, identified projects eligible to receive funding under the Regional Traffic Relief Plan; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is responsible for funding projects eligible for Regional Measure 2 funds, pursuant to Streets and Highways Code Section 30914(c) and (d); and

WHEREAS, MTC has established a process whereby eligible transportation project sponsors may submit allocation requests for Regional Measure 2 funding; and

WHEREAS, allocations to MTC must be submitted consistent with procedures and conditions as outlined in Regional Measure 2 Policy and Procedures; and

WHEREAS, (agency name) is an eligible sponsor of transportation project(s) in Regional Measure 2, Regional Traffic Relief Plan funds; and

WHEREAS, the (project title) is eligible for consideration in the Regional Traffic Relief Plan of Regional Measure 2, as identified in California Streets and Highways Code Section 30914(c) or (d); and

WHEREAS, the Regional Measure 2 allocation request, attached hereto in the Operating Assistance Proposal and incorporated herein as though set forth at length, demonstrates a fully funded operating plan that is consistent with the adopted performance measures, as applicable, for which (agency name) is requesting that MTC allocate Regional Measure 2 funds; and

WHEREAS, Part 2 of the project application, attached hereto and incorporated herein as though set forth at length, includes the certification by (agency name) of assurances required for the allocation of funds by MTC; now, therefore, be it

RESOLVED, that (agency name), and its agents shall comply with the provisions of the Metropolitan Transportation Commission's Regional Measure 2 Policy Guidance (MTC Resolution No. 3636); and be it further

RESOLVED, that (agency) certifies that the project is consistent with the Regional Transportation Plan (RTP).

RESOLVED, that (agency name) approves the updated Operating Assistance Proposal, attached to this resolution; and be it further

RESOLVED, that (agency name) approves the certification of assurances, attached to this resolution; and be it further

RESOLVED, that (agency name) is an eligible sponsor of projects in the Regional Measure 2 Regional Traffic Relief Plan, Capital Program, in accordance with California Streets and Highways Code 30914(d); and be it further

RESOLVED, that (agency name) is authorized to submit an application for Regional Measure 2 funds for (project name) in accordance with California Streets and Highways Code 30914(d); and be it further

RESOLVED, that (agency name) certifies that the projects and purposes for which RM2 funds are being requested are in compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), and with the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.) and, if relevant the National Environmental Policy Act (NEPA), 42 USC Section 4-1 et. seq. and the applicable regulations thereunder; and be it further

RESOLVED, that there is no legal impediment to (agency name) making allocation requests for Regional Measure 2 funds; and be it further

RESOLVED, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

RESOLVED, that (agency name - include for transit projects/sponsors only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and be it further

RESOLVED, that (agency name) indemnifies and holds harmless MTC, its Commissioners, representatives, agents, and employees from and against all claims, injury, suits, demands, liability, losses, damages, and expenses, whether direct or indirect (including any and all costs and expenses in connection therewith), incurred by reason of any act or failure to act of (agency name), its officers, employees or agents, or subcontractors or any of them in connection with its performance of services under this allocation of RM2 funds. In addition to any other remedy authorized by law, so much of the funding due under this allocation of RM2 funds as shall reasonably be considered necessary by MTC may be retained until disposition has been made of any claim for damages.

RESOLVED, that (agency name) shall, if any revenues or profits from any non-governmental use of property (or project) that those revenues or profits shall be used exclusively for the public transportation services for which the project was initially approved, either for capital improvements or maintenance and operational costs, otherwise the Metropolitan Transportation Commission is entitled to a proportionate share equal to MTC's percentage participation in the projects(s); and be it further

RESOLVED, that (agency name) authorizes its (Executive Director, General Manager, or his/her designee) to execute and submit an allocation request for operating or planning costs for (Fiscal Year) with MTC for Regional Measure 2 funds in the amount of ($_____), for the project, purposes and amounts included in the project application attached to this resolution; and be it further

RESOLVED, that the (Executive Director, General Manager, or his/her designee) is hereby delegated the authority to make non-substantive changes or minor amendments to the IPR as he/she deems appropriate.

RESOLVED, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the (agency name) application referenced herein.

PART 4: RM2 SAMPLE OPINION OF LEGAL COUNSEL

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Part 3. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the Regional Measure 2; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided below.

(Date)

To: Metropolitan Transportation Commission
Fr: (Applicant)
Re: Eligibility for Regional Measure 2 funds

This communication will serve as the requisite opinion of counsel in connection with the allocation of (Applicant) _____ for funding from Regional Measure 2 Regional Traffic Relief Plan made available pursuant to Streets and Highways Code Section 30914(c)(d) for (Project Name) _____

4. (Applicant)_____ is an eligible sponsor for the Regional Measure 2 funding.
5. (Applicant) _____ is authorized to submit an allocation request for Regional Measure 2 funding for (project) _____
6. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) _____ making applications for Regional Measure 2 funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation that might in any way adversely affect the proposed projects, or the ability of (Applicant) _____ to carry out such projects.

Sincerely,

_____
Legal Counsel

_____
Print name

PART 5: RM2 PERFORMANCE MEASURES FOR OPERATING PROJECTS

1. The objective in establishing performance measures is to ensure that the Regional Measure 2 (RM2) operating dollars are directed to productive services within the corridors identified in the legislation, or as redirected by the Commission after a public hearing process.

2. Two performance measures will be used to assess cost recovery and ridership change in accordance with California Streets and Highway Code (S&HC) 30914.5(a), which requires that MTC shall adopt performance measures related to farebox recovery ratio and ridership: 1) farebox recovery and 2) change in passengers per revenue vehicle hour. Farebox recovery ratio and change in passengers per hour performance measures are established in items 4 and 5.

3. Recognizing that the market demands as well as policy goals for the operating projects in S&HC 30914(d) are not uniform, several thresholds for farebox recovery are established and outlined in item 4.

4. An operating segment must meet or exceed the farebox recovery ratio conforming to its particular mode and service type as defined in the table below. Peak service is defined as service that does not continue at least hourly between the morning and afternoon commute periods. All day service is generally defined as service that is provided at least hourly between the hours of 6 a.m. and 7 p.m. Long-haul bus services (> 25 miles) will be deemed "all day" if service is provided as least every two hours during the midday. Owl service is service that has been developed with the specific goal of closing a temporal gap in the transit network.

   For purposes of establishing compliance with the performance measures, the farebox recovery ratio for the audit year or the average farebox recovery ratio for a three-year period will be used, whichever is more favorable.

Service Type	Ferry	Rail	Bus
Peak Service	40%	35%	30%
All Day Service	30%	25%	20%
Owl Service	N/A	N/A	10%

   Projects (8) and (9) in S&HC 30914(d) are exempt from the farebox thresholds above and instead must meet the farebox requirements established for receiving allocation for state funds (Transportation Development Act, State Transit Assistance, and AB 1107).

5. It is the expectation that all operating segments will maintain a positive change in passengers per revenue vehicle hour when a rolling average over a three-year period is applied. The first three years of service must demonstrate an increase in passengers each year. From the fourth year forward, three-year averages will be calculated and compared. The previous three-year average will be compared to the most recent three-year average, with the most recent year being added and the oldest year being dropped from each average (FYs 2004, 2005 and 2006 will be compared to FYs 2005, 2006, and 2007, and so on). If productivity during the audit year is better than the most recent three-year average, then the previous three-year average will be compared to the audit year. A negative change in an amount equal to or less than a negative change in Transportation Development Act revenues in the county of operation (or average

between the origination and destination) for the same period will be allowable. The goal is to have positive ridership change between each three-year cycle, but the allowance for a negative change is to account for economic adjustments in the region and for fluctuations in regional market demand for each service.

Projects (8) and (9) in S&HC 30914(d) are exempt from the passenger per revenue vehicle hour changes and instead must meet the performance measure requirements established for receiving allocation for state funds (Transportation Development Act, State Transit Assistance, and AB 1107).

6. If an operating program or project cannot achieve its performance objectives described above, MTC staff will consult with the project sponsor about potential service adjustments or redeployment to increase the productivity of the route and best serve transit in the corridor. After this consultation, the sponsor will be given the opportunity to present to the Commission a corrective action plan for meeting the RM2 performance measures. Based on the corrective action plan recommendation, the Commission shall give the sponsor a time certain to achieve the performance measure or have its funding reassigned. If there are no other eligible claimants within the RM2 eligible program category the Commission shall hold a public hearing concerning the project. After the hearing, the Commission may vote to modify the program's scope, decrease its level of funding, or to reassign all of the funds to another or an additional project.

7. Only transit operations will be subject to the performance measure outlined in this policy. Projects (10) and (11) outlined in RM2 under S&HC 30914(d) are not subject to these performance measures as these projects do not meet the definition of transit operations.

8. Each operating project that requests RM2 operating funding will be given a two-year ramp-up period to meet the performance measures with an expectation that measures will be met in the third year of service. If an operating scope or definition is changed at the sponsor request after initial rollout of the operating project, no new ramp-up period will be granted.

9. Compliance with the performance measures must be certified as part of the annual fiscal audit prepared by the project sponsor. The compliance and, therefore eligibility for RM2 operating funds, for a given fiscal year will be based on fiscal audit two years in arrears. Therefore, the first year for which performance measures will be assessed is for FY 2008-09 operating requests; these requests will take into consideration performance in FY 2006-07.

10. For purposes of calculating farebox recovery ratio and passengers per revenue vehicle hour, project sponsors must allocate costs in accordance with the cost allocation shown below for the various service types. This cost allocation strategy must be consistent with that provided to MTC as part of the annual Operating Assistance Plan (OAP). Further, baseline data on ridership, costs, fares, and average fare must be established as part of the OAP for RM2 services that represent an incremental change to the operator's overall service plan. The operator should establish a data collection plan for assessing changes to the baseline system for purposes of calculating ridership, costs, and fare for the new RM2 incremental services.

Service Type	Cost Allocation Methodology
Peak Service	Fully Allocated Costs
All Day Service	Fully Allocated Costs
Owl Service	Marginal Costs

11. For purposes of this policy, the farebox recovery ratio is the ratio of fares collected on the RM2-funded segment to total operating costs for that same segment. Passenger per revenue vehicle hour is defined as the total passengers (total of all adult, youth and student, senior and disabled, inter-operator paid transfer, and non-revenue boardings) divided by the revenue vehicle hours (the total number of hours that each transit vehicle is in revenue service, including layover time).

APPENDIX A – 25

Regional Policies: Project Funding

Programming and Allocation Policies for the AB 664 Net Bridge Toll Revenue, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenue, and Five Percent State General Fund Revenue Transit Funding Programs

MTC Resolution No. 4015

Date: June 22, 2011
W.I.: 1514
Referred By: PAC

ABSTRACT

Resolution No. 4015

This resolution establishes revised programming and allocation policies for the AB 664 Net Bridge Toll Revenue, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenue, and Five Percent State General Fund Revenue transit funding programs. The revisions establish annual funding for ABAG for the San Francisco Bay Trail, make WETA the sole applicant for ferry services funding, and remove the condition splitting funds between the Northern and Southern bridge groups for the Two Percent Bridge Toll Revenue programs. This resolution supersedes Resolutions 2004, Revised, 3149, and 3288, Revised.

This resolution includes the following Attachment:
Attachment A – Bridge Toll Revenue and State General Fund Revenue Allocation Policy

Further discussions of the policies are contained in the Programming and Allocations Committee summary sheet dated June 8, 2011.

Date: June 22, 2011
W.I.: 1514
Referred By: PAC

RE: Revised Programming and Allocation Policies for the AB 664 Net Bridge Toll Revenues, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenues, and Five Percent State General Fund Revenues transit funding programs

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4015

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, since 1977, MTC has allocated net toll revenues, pursuant to Government Code §§ 30892 and 30893, for eligible transit capital improvements and ferry operations; and

WHEREAS, pursuant to Streets and Highways Code § 30913 (b), MTC has allocated two-thirds of the 2 percent of the 1988 Regional Measure 1 toll increase ("Two Percent Bridge Toll Revenues") to projects which are designed to reduce vehicular traffic congestion on these bridges; and the remaining one-third of those toll revenues for the planning, construction, operation, and acquisition of rapid water transit systems; and,

WHEREAS, pursuant to Streets and Highways Code § 30884, certain toll revenues ("AB 664 Net Bridge Toll Revenues") are available to fund transit capital improvements; and

WHEREAS, pursuant to Streets and Highway Code § 30919, MTC has allocated bridge toll revenue ("RM1 Regional Rail Extension Reserves") for rail extension and improvement projects designed to reduce vehicular congestion on the San Francisco-Oakland Bay Bridge in the counties of Alameda, Contra Costa, San Francisco, San Mateo, and Santa Clara; and

WHEREAS, pursuant to Streets and Highways Code § 30894, MTC adopted MTC Resolution No. 2004, Revised, which sets forth MTC's overall Bridge Toll Revenue Allocation Policy; and

WHEREAS, with the completion of the Regional Ferry Plan Update, MTC adopted Resolution No. 3149, which established a Five Percent Bridge Toll Revenues programming and allocation policy; and

WHEREAS, the California Department of Transportation (DEPARTMENT) entered into a cooperative agreement with the Bay Area Toll Authority (BATA) and MTC on the

federalization of toll bridge projects under BATA's jurisdiction and on the transfer of state funds to replace the five percent Bridge Toll Program funds for ferry operations; and

WHEREAS, under terms of the agreement between the DEPARTMENT, BATA, and MTC, MTC agreed, among other things, to amend its Five Percent Bridge Toll Revenues policy, as set forth in MTC Resolution No. 3149, and to program and allocate state funds made ("Five Percent State General Fund Revenues") available by the DEPARTMENT for transit operating purposes; and

WHEREAS, pursuant to the agreement between the DEPARTMENT, BATA, and MTC, MTC adopted Resolution 3288 to establish interim programming and allocation policies for the Five Percent State General Fund Revenues and Two Percent Bridge Toll Revenues program; and

WHEREAS, MTC adopted Resolution 3948 and BATA adopted Resolution 93 and executed a Funding Agreement relieving BATA of responsibility for making AB 664 Net Bridge Toll Revenues Reserve Transfers, Two Percent Transit Reserves Transfers, and Rail Extension Reserves Transfers for 50 years; and

WHEREAS, the adoption of Resolution 3948 necessitates an update and revision to policies governing the various bridge toll revenue and Five Percent State General Fund Revenues; now, therefore, be it

RESOLVED, that MTC adopts the programming and allocation policies for the AB 664 Net Bridge Toll Revenues, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenues, and Five Percent State General Fund Revenues transit funding programs as set forth in Attachment A, attached hereto and incorporated herein as though set forth at length; and be it further

RESOLVED, that this resolution supersedes MTC Resolution Nos. 2004, 3149, and 3288.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chairperson

The above resolution was entered into by
the Metropolitan Transportation Commission
at a regular meeting of the Commission held
in Oakland, California on June 22, 2011.

BRIDGE TOLL REVENUE AND STATE GENERAL FUND REVENUE ALLOCATION POLICY

Definitions

1. "MTC Transit Transfer" refers to the September 2010 payment made from BATA to MTC equal to the estimated present value of specified fund transfers for a 50 year period pursuant to BATA Resolution 93 and MTC Resolution 3948. The payment relieves BATA from making AB 664, Regional Measure 1, and MTC Two Percent Bridge Toll Revenues transfers to MTC for a 50 year period.

2. "AB 664 Net Bridge Toll Revenues" refers to revenues available pursuant to Streets and Highway Code (S& H Code) 30884 calculated as 16% of base toll revenue on the San Francisco-Oakland Bay Bridge, San Mateo, and Dumbarton Bridges to be used for transit capital purposes. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.

3. "RM1 Rail Extension Reserve" is composed of not less than 90% of the revenues from the Class I toll increase on the Bay Bridge, as authorized by Regional Measure I and Streets and Highways Code § 30910 et seq. Pursuant to Streets and Highways Code § 30919, MTC must allocate these funds exclusively for rail transit capital extension and improvement projects designed to reduce vehicular traffic congestion on the Bay Bridge. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.

4. "East Bay Rail Extension Reserve" consists of 70% of the MTC Rail Extension Reserve. These revenues are to be allocated to rail extension and improvement projects in Alameda and Contra Costa Counties. These projects include, but are not limited to, the BART extensions planned for the Concord-Antioch, Fremont-San Jose, and Bayfair-Livermore rail transit corridors. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.

5. "West Bay Rail Extension Reserve" consists of 30% of the MTC Rail Extension Reserve. These revenues are to be allocated to rail extension and improvement projects in San Francisco, San Mateo, and Santa Clara Counties. No specific projects are mentioned in the legislation. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.

6. "Two Percent Bridge Toll Revenues" refers to revenues available pursuant to S&H Code 30913(b) used for ferry capital and other capital improvements. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.

7. "Five Percent State General Fund Revenues" is funded by the five percent (Five Percent) Bridge Toll Program State General Fund revenues delivered to MTC in amounts equal to projections of the Regional Measure 1 (RM 1) five percent (Five Percent) Bridge Toll Program, based on a cooperative agreement between MTC, BATA and Caltrans. These revenues are to be programmed and allocated for ferry transit operations and bicycle-related planning.

8. "Resolution No. 3434" refers to the region's adopted Regional Transit Expansion Program.

Objectives

1. Maintain MTC's flexibility in allocations by avoiding rigid apportionment formulas.
2. Maximize the use of AB 664 Net Bridge Toll Revenues for meeting the local match required for transit capital projects programmed in the Transportation Improvement Program (TIP).
3. Sustain commitments made regarding allocations of new revenues.
4. Secure the financial integrity of the Resolution No. 3434 Program.

AB 664 Net Bridge Toll Revenues

Pursuant to S&H Code 30884, AB 664 Net Bridge Toll Revenues are available for capital projects.

1. The first priority for AB 664 Net Bridge Toll Revenues is to match transit capital projects programmed for Federal Transit Administration formula funds (the Urbanized Area Formula Program and the Fixed Guideway Modernization Program, or successor programs) in the Transportation Improvement Program (TIP). Revenues in each year will be apportioned to each eligible operator in proportion to the operator's share of the FTA formula funds programmed for capital projects in the TIP in the same year.

2. The 70/30 ratio which MTC has employed to apportion AB 664 Net Bridge Toll Revenues between East and West Bay transit operators pursuant to MTC Resolution 2004 is maintained in FY2010-11 program. For FY2011-12 and future years, MTC will consider alternative policies for apportioning revenues among transit operators, including eliminating the division of revenues into East Bay and West Bay so the apportionment is entirely based on each operator's share of FTA formula funds programming for capital projects.

3. Similar to the flexibility allowed under the STP/CMAQ program, where second and third year projects may be advanced to the first year for implementation, an operator may request MTC to advance AB 664 Net Bridge Toll Revenues for programmed projects, as long as funds are available for allocation, (e.g. an operator who is programmed revenues in the third year of the TIP and wishes to exercise pre-award authority for these match funds may request MTC to release the funds.) MTC will determine funding availability and will consider whether there is a need for the advancement.

RM1 Regional Rail Extension Reserve

To the extent feasible and required, maintain MTC's commitment to Resolution No. 3434 projects from the Rail Extension Reserve.

Two Percent Bridge Toll Revenues

Pursuant to Streets and Highways Code Section 30913(b), two-thirds of the annual available funding shall be allocated to projects which are designed to reduce vehicular traffic congestion and improve bridge operations on any bridge, including, but not limited to, bicycle facilities and for the planning, construction, operation, and acquisition of rapid water transit systems. The remaining one-third is available solely for the planning, construction, operation, and acquisition of rapid water transit systems.

Two Percent Bridge Toll Revenues Priorities and Estimated Annual Programming Amounts

1. $1 million to the Water Emergency Transit Authority (WETA) for ferry capital improvement projects.

2. $450,000 to the Association of Bay Area Governments (ABAG) for program management and capital support for the San Francisco Bay Trail.

*Note that annual funding amounts are established and adjusted through the annual MTC fund estimate adoption

Five Percent State General Fund Revenues

The Five Percent State General Fund Revenues are delivered to MTC in amounts equal to projections of the RM1 Five Percent Bridge Toll Program. These revenues are to be programmed and allocated for ferry transit operations and bicycle-related planning.

Five Percent State General Fund Revenues Priorities and Estimated Annual Programming Amounts as of FY 2010-11

1. $2.8 million to the Water Emergency Transit Authority (WETA) for ferry capital improvement projects and ferry operations.

2. $250,000 to the Association of Bay Area Governments for planning for the San Francisco Bay Trail.

*Note that annual funding amounts are established and adjusted through the annual MTC fund estimate adoption

The amount of Five Percent State General Fund Revenues programmed to ABAG shall be adjusted by the rate of increase in Five Percent State General Fund Revenues or the rate of increase in the Consumer Price Index, whichever is less, every three years, with the first adjustment occurring with FY2011-12 based calculations. ABAG shall be the sole priority for the Five Percent State General Fund Revenues for bicycle planning.

Program the remainder of the Five Percent State General Fund Revenues to WETA to support ferry service operations. Ferry services will need to have demonstrated an average 40% farebox recovery ratio (the regional average for all publicly-operated services during the period from 2006 to 2010) for the operating agency in order to ensure continued funding for operations. An operator may meet this requirement based on their average farebox recovery for the most recent three-year period for which National Transit Database statistics are available or their annual farebox recovery for the most recent year for which data is available.

If an operator is unable to meet the performance measure, the funding that would have gone to the ferry operator could be directed by the Commission to a transit service/route that reduces vehicular congestion in one of the bridge group corridors, and has demonstrated the ability to meet the 40% farebox requirement. The service could be ferry or another transit mode, provided that the service/route can meet the performance measure. At least forty percent of the Five Percent funding must directed toward ferry operations or capital as required.

Screening Criteria for all Two Percent Bridge Toll Revenue and Five Percent State General Fund Revenues Projects

Project submittals for Five Percent State General Fund Revenues and the Two Percent Bridge Toll Revenues must be submitted to MTC for consideration and must meet all of the following screening criteria:

- project is ready for implementation, including having any necessary clearances or approvals, in the year indicated;
- project is well defined and justified in the project proposal;
- entity has the capacity to implement the project;
- entity has an adequate project financial plan, with reasonable cost estimates;
- project has been approved by the local entity's policy board; and
- project is identified in or is part of an adopted regional or local transportation plan.

In addition, entities requesting transit operating funds must:

- complete a Short Range Transit Plan (or similar planning document as specified by MTC) that identifies service plans and budgets for at least a 5-year period;
- be consistent with the adopted Regional Transportation Plan (RTP); and
- submit data on capital replacement needs to MTC, as requested.

MTC staff evaluates project proposals and develops an annual program of projects for Five Percent State General Fund Revenues and 2 % Bridge Toll Revenues. The program of projects is reviewed by the affected entities. MTC adopts the program of projects and allocates the Five Percent State General Fund Revenues and 2 % Bridge Toll Revenues according to the program.

Timely Use of Funds for AB 664 Net Bridge Toll Revenues, Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues

All projects programmed with AB 664 Net Bridge Toll Revenues, Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues are subject to the following timely use of funds (TUF) policy. Full disbursement of funds must be completed within three years plus the year in which funds are allocated for a project programmed Bridge Toll Revenues. For example, funds allocated in FY 2010-11 must be fully disbursed by June 30, 2014. Any unspent funds at the end of September 30, 2014 (which includes a 3-month grace period) will automatically revert to the appropriate Bridge Toll Revenue account.

Annual Funding Levels for AB 664 Net Bridge Toll Revenues, Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues

Annual funding levels for AB 664 Net Bridge Toll Revenues, Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues shall be established and adjusted through the annual MTC fund estimate adoption.

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APPENDIX A – 26

Specific Funding Programs

Project Selection Criteria, policies and programming for the Surface Transportation Authorization Act, following the Safe, Accountable, Flexible and Efficient Transportation Equity Act (SAFETEA), and any extensions of SAFETEA in the interim, for the Cycle 1, Surface Transportation Program (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) Program.

MTC Resolution No. 3925

Date: October 28, 2009
W.I.: 1512
Referred by: PAC
Revised: 12/16/09-C 07/28/10-C
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04/25/12-C 06/27/12-C
07/25/12-C 09/26/12-C
02/27/13-C 05/22/13-C
09/25/13-C 12/18/13-C
02/26/14-C 03/26/14-C
04/23/14-C

ABSTRACT

Resolution No. 3925, Revised

This resolution adopts the Project Selection Criteria, policies and programming for the Surface Transportation Authorization Act, following the Safe, Accountable, Flexible and Efficient Transportation Equity Act (SAFETEA), and any extensions of SAFETEA in the interim, for the Cycle 1, Surface Transportation Program (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) Program. The Project Selection Criteria contains the project categories that are to be funded with FY 2009-10 and FY 2010-11 STP/CMAQ funds to be amended into the currently adopted 2009 Transportation Improvement Program (TIP) and subsequent TIP update.

The resolution includes the following attachments:

Attachment A – Cycle 1 STP/CMAQ Project Selection Criteria, and Programming Policies
Attachment B – Cycle 1 Project List

The resolution was revised on December 16, 2009 to add Attachment A and to add $437 million to Attachment B, the balance of funding to Cycle 1 programs.

Appendix A-1 and A-7 of Attachment A along with Attachment B of the resolution were revised on July 28, 2010 to add approximately $15.1 million in additional apportionment as follows: 1) Strategic Investment – Advance of SamTrans Payback ($6.0 million); 2) Transportation for Livable Communities ($4.1 million); 3) Regional Commitment – GGB Suicide Deterrent ($5.0 million). In addition, the framework for second cycle is revised to program "freed up" Second Cycle Funds of $6 million to the Climate Initiative program.

This resolution was revised on September 22, 2010 to advance $20 million in Freeway Performance Initiative project elements to address lower than expected state programming as well as the opportunity to capture more obligation authority. This action increases federal programming in First Cycle and reduces federal programming in Second Cycle by an equal amount.

This resolution was revised on October 27, 2010 to award grants from the Climate Initiatives Innovative Grant Program ($31 million) and the Safe Routes to Schools Creative Grant Program ($2 million). Attachment B was also updated to show projects nominated by the CMAs for the CMA Block Grant Program along with other updates reflecting TIP actions.

Attachment B was revised on February 23, 2011 to reflect the addition of new projects selected by the congestion management agencies, counties, and revisions to existing projects.

Attachment B was revised on March 23, 2011 to facilitate a fund exchange between the Green Ways to School Through Social Networking Project (TAM) with the Venetia Valley School SR2S Improvements (Marin County) and to make additional programming updates.

Attachment B was revised on May 25, 2011, to add $2,092,000 to seven new grants for San Francisco, Fremont, South San Francisco, Sunnyvale, and Walnut Creek.

Attachment B was revised on June 22, 2011, to rescind $1,998,000 for two projects in Hayward and Hercules.

Appendix A-1 and A-7 of Attachment A along with Attachment B of the resolution were revised on September 28, 2011 to advance $5.0 million for SFgo in the Climate Initiative Element, and $13.3 million for the SamTrans Payback in the Regional Strategic Investment element to address higher than expected federal apportionment in the near-term, while not increasing the overall funding commitment for the Cycles 1 & 2 framework. This action increases federal programming in First Cycle and reduces federal programming commitments in Second Cycle by an equal amount.

Attachment B was revised on October 26, 2011 to provide $376,000 to the Stewart's Point Rancheria Intertribal Electric Vehicle Project and to modify the scope of Santa Rosa's Climate Initiatives Program grant.

Attachment A (pages 6 and 17), and Appendix A-1 and A-7 of Attachment A along with Attachment B of the resolution were revised on February 22, 2012 to advance $8,971,587 for the Lifeline Transportation Program to address higher than expected federal apportionment in the near-term and to redirect funding to the US 101 Capitol Expressway Interchange project. The latter revision requires VTA to provide an equal amount of future local/RTIP funds to a TLC project. This action increases federal programming in First Cycle and reduces federal programming commitments in Second Cycle by an equal amount, while not increasing the overall funding commitment for the Cycles 1 & 2 framework.

Attachment A (pages 6 and 17), Appendix A-1 of Attachment A along with Attachment B of the resolution were revised on March 28, 2012 to add $34 million in STP/CMAQ funds redirected from Cycle 2 FPI for the Doyle Drive / Presidio Parkway, with an equivalent amount in future San Francisco RTIP funding to be directed to regional FPI/Express Lanes. The OA Carryover identified for Cycle 1 is reduced from $54 million to $0 to accommodate this action and the advance of $20 million for FPI on September 22, 2010. Additional changes were made to the project listing in Attachment B.

Attachment A (pages 6 and 17), and Appendix A-1 of Attachment A along with Attachment B of the resolution were revised on April 25, 2012 to address the following: program $1.2 million to an ACE preventive maintenance project in lieu of an equal amount for SR2S funding for Alameda county (ACTC agrees to fund an equal amount of SR2S projects using local funds); advance and program the remaining $2.7 million for the small/ northbay county operators (with this advance, the entire $31 million STP/CMAQ commitment for the MTC Resolution 3814 Transit Payback as identified in Attachment A has been fulfilled); and redirect $700,000 from the Climate Initiatives Public Outreach effort to the Spare the Air program. Additional changes were made to the project listing in Attachment B.

Attachment B to the resolution was revised on June 27, 2012 to reflect the following actions: program $7.6 million for specific STP/CMAQ projects for the Lifeline program; program $3.7 million to ten new Priority Development Area (PDA) Planning Grants for San Francisco, Fremont, Concord, Alameda, Alameda County, Richmond, Mountain View and Rohnert Park; and revise the SamTrans projects receiving the Caltrain Payback, among other changes.

Attachment B to the resolution was revised on July 25, 2012 to add $0.2 million for Lifeline transportation projects.

Attachment B to the resolution was revised on September 26, 2012 to add $50,000 to the Walnut Creek fourth cycle PDA planning grant and to move funds between two projects in the Sonoma County's County TLC Program.

Attachment B to the resolution was revised on February 27, 2013 to redirect $50,000 to the City of San Jose's San Carlos Multimodal project from the Los Gatos Creek Reach 5 Trail project.

This resolution was revised on May 22, 2013 to extend the obligation deadline for the remaining Cycle 1 funds for projects subject to the dissolution of the redevelopment agencies, and delays in programming of Lifeline Transportation projects and small/northbay transit operators projects subject to the MTC Resolution 3814 transit payback commitment, and climate initiative innovative grant projects. Attachment B to the resolution was also revised to reflect the following actions: Redirect $180,000 from the City of Concord's Monument Blvd Corridor Shared Use Trail (Phase 1) to the Monument Blvd Corridor Pedestrian and Bikeway Network (Phase 2) with no change in total funding; add the Eddy and Ellis Traffic Calming Lifeline project in San Francisco for $1,175,105; modify the funding amounts between SamTrans' Caltrain Right-Of-Way payback commitment projects with no change in total funding; replace the Livermore plaza TLC project with the Livermore railroad depot restoration project with no change in total funding; deprogram the electric vehicle taxi climate initiative project for $6,988,000 as a result of Better Place withdrawing from the project and retain $988,000 for SFMTA's Electric Vehicles for Neighborhood Taxi Service project (a sub-element of the original project); and redirect: $875,000 to extend the Dynamic Rideshare project; and redirect $2,800,000 to increase the BAAQMD's bike sharing climate initiative project from $4,291,000 to $7,091,000.

Attachment B to the resolution was revised on September 25, 2013 to substitute the City of Oakland's Foothill Blvd. Streetscape Project with the Lakeside Green Streets Project.

Attachment B and Appendix A-1 to the resolution were revised on December 18, 2013 to change $31 million from RTIP to CMAQ in the FPI program and to add a Sonoma US 101 FPI project and to update the funding amounts for the remaining FPI projects.

Attachment B was revised February 26, 2014 to reprogram Santa Clara's RTIP-TE funding from a lapsed project to two new projects in Santa Clara County, redirect $3 million in Public Outreach Climate Initiatives Funding to the Spare the Air program and reduce funds for the Richmond Rail Connector Project.

Attachment B was revised March 26, 2014 to add $2.7 million to the Clipper Program to Implement Phase III and make funding adjustments within the Freeway Performance Initiative Program by moving funds from the Marin US 101 component to the Solano I-80/ I-680/ SR 12 Interchange component.

Attachment B was revised April 23, 2014 to make changes to the Climate Initiatives Program including the addition of the Bay Area Bike Share Program (Phase II) and funding amount adjustments for two other programs

Further discussion of the Cycle 1 STP/CMAQ Project Selection Criteria and Program is contained in the memorandum to the Programming and Allocations Committee dated October 14, 2009, December 9, 2009, July 14, 2010, September 8, 2010; October 13, 2010, February 9, 2011, March 9, 2011, May 11, 2011, June 8, 2011, September 14, 2011, October 12, 2011, February 8, 2012, March 7, 2012, April 11, 2012, June 13, 2012, July 11, 2012, September 12, 2012, February 13, 2013, May 8, 2013, September 11, 2013, December 11, 2013, February 12, 2014, March 5, 2014, and April 9, 2014.

Date: October 28, 2009
W.I.: 1512
Referred By: PAC

RE: New Federal Surface Transportation Act (FY 2009-10, FY 2010-11 and FY 2011-12) Cycle 1 STP/CMAQ Program: Project Selection Criteria, Policy, Procedures and Programming

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3925

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization for the nine-county San Francisco Bay Area region (the region) and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of Surface Transportation Planning (STP) and Congestion Mitigation and Air Quality Improvement Program (CMAQ) funded projects; and

WHEREAS, MTC is the designated recipient for regional STP and CMAQ funds for the San Francisco Bay Area; and

WHEREAS, MTC has developed policies and procedures to be used in the selection of projects to be funded with STP and CMAQ funds for the Cycle 1 STP/CMAQ Program (23 U.S.C. Section 133), as set forth in Attachment A of this Resolution, incorporated herein as though set forth at length; and

WHEREAS, using the procedures and criteria set forth in Attachment A of this Resolution, MTC, in cooperation with the Bay Area Partnership, have or will develop a program of projects to be funded with STP and CMAQ funds in Cycle 1 for inclusion in the 2009 Transportation Improvement Program (TIP) including the subsequent TIP update, as set forth in Amendment B of this Resolution, incorporated herein as though set forth at length; and

WHEREAS the 2009 TIP and the subsequent TIP update will be subject to public review and comment; now therefore be it

RESOLVED that MTC approves the Project Selection Criteria, Policies, Procedures and Programming for the New Federal Surface Transportation Act (FY 2009-10, FY 2010-11 and FY 2011-12) Cycle 1 STP/CMAQ funding, as set forth in Attachments A and B of this Resolution; and be it further

RESOLVED that the regional STP and CMAQ funding shall be pooled and redistributed on a regional basis for implementation of Cycle 1 STP/CMAQ Project Selection Criteria, Policies, Procedures and Programming, consistent with the Regional Transportation Plan (RTP); and be it further

RESOLVED that the projects will be amended into in the 2009 TIP and the subsequent TIP update, subject to the final federal approval; and be it further

RESOLVED that the Executive Director is authorized to revise Attachment B as necessary to reflect the programming of projects as the projects are identified and amended in the TIP; and be it further

RESOLVED that the Executive Director shall make available a copy of this resolution, and such other information as may be required, to the Governor, Caltrans, and to other such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on October 28, 2009

Date: November 18, 2009
W.I.: 1512
Referred by: PAC
Revised: 12/16/09-C 02/22/12-C
03/28/12-C 04/25/12-C
05/22/13-C

Attachment A
Resolution No. 3925

New Surface Transportation Authorization Act

Cycle 1 STP/CMAQ Project Selection Criteria and Programming Policy

Representing FY 2009-10, FY 2010-11, and FY 2011-12

Cycle 1 STP/CMAQ
Policy and Programming

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BACKGROUND

With the close of SAFETEA on September 30, 2009, an overall architecture is called for to guide upcoming programming decisions for the new six-year surface transportation authorization act (New Act) funding. The Cycle 1 Project Selection Criteria and Programming Policy guides the programming of the first three year increment of federal funding (FY 2009-10, FY 2010-11 and FY 2011-12) and establishes the overall framework and funding estimate for the final three years (FY2012-13 through FY2014-2015). Until this legislation is enacted, the next one or two years of funding will be authorized through extensions of the current act and its programs and the future funding programs will likely overlap to a large extent with projects that are currently eligible for funding under Title 23 of the United States Code.

MTC receives a share of federal funding for local programming. Among the various transportation programs established by SAFETEA, the Commission has discretion over regional Surface Transportation Program (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) Program funds. The *New Surface Transportation Authorization Act Cycle 1 STP/CMAQ Project Selection Criteria and Programming Policy* outlines how the region proposes to use these funds for transportation needs in the MTC region and to implement the strategies and objectives of the Regional Transportation Plan, also referred as Transportation 2035 (T2035). T2035 is the Bay Area's comprehensive roadmap to guide transportation investments in mass transit, highway, airport, seaport, bicycle and pedestrian projects over 25 years. The programs recommended for funding under the Cycle 1 Project Selection Criteria and Programming Policy are an outgrowth of the transportation needs specifically identified by T2035.

NEW ACT FUND ESTIMATE

Without a new federal surface transportation authorization act, MTC can only make preliminary estimates of revenues. Therefore, as in the past, MTC will reconcile revenue levels following enactment of the New Act, and also address any changes in eligibility of revenue categories. It is estimated that roughly $1.4 billion is available for programming over the New Act period consisting of the following components.

STP/CMAQ and Transportation Enhancement (TE) Funds: $1.1 billion is available over the New Act, assuming a 4% growth rate, consistent with projections for T2035. Specifically the STP/CMAQ/TE programming capacity over Cycle 1 amounts to $485 million dollars, which is the subject of this Commission Action. This amount includes $22 million of Transportation Enhancement Funds, which will be programmed through the Regional Transportation Improvement Program (RTIP).

American Recovery and Reinvestment Act (ARRA) Backfill funding: The region will also be the beneficiary of $105 million in Regional Transportation Improvement Program/ Corridor Mobility Improvement Account (RTIP/CMIA) bond funding capacity as well as $7.5 million in TE for programming consideration as a result of recent ARRA programming activities.

"Anticipated" Funding: Further, $235 million is identified as "anticipated" over the six year period, which represents the additional increment of funding consistent with the House Transportation and Infrastructure Committee $500 billion proposal for authorization (10% growth rate). Staff recommends programming the first three years of

this amount (estimated to $60 million) under Cycle 1 should apportionments come in higher, once the New Act is authorized. Any increment realized would be allocated proportionately among the programs using the overall framework amounts shown under "anticipated revenue" as a guide and be taken to the Commission for approval. This approach applies only up to $235 million in revenues over the New Act period. Any revenue exceeding this amount is to be discussed further by the Partnership and other transportation stakeholders and ultimately is up to the discretion of the Commission.

New Act "Anticipated Funds" Distribution

(millions $s)

T 2035 Core Programs	Revenue Shares	Fund Amount
Freeway Performance Initiative (FPI)	13%	31
Climate Initiatives	20%	48
Regional Bicycle Program	8%	19
Transportation for Livable Communities (TLC)	18%	42
Transit Capital Rehabilitation	17%	39
Local Streets and Roads Rehabilitation*	23%	55
Total	100%	235

CYCLE 1 PROGRAMMING APPROACH

Resolution 3925 establishes an overall framework for this $1.4 billion in new funding spanning the six-year new surface transportation authorization act. As a starting point for determining Cycle 1 program commitments over the first three years of the six year New Act period, staff discussed with the Partnership the full six-year range of revenues and program needs to pinpoint program issues such as delivery schedules and when the programs' greatest needs occur, with an objective towards balancing needs over both the Cycle 1 (FY 2009-10, FY 2010-11, and FY 2011-12) and Cycle 2 (FY 2012-13, FY 2013-14, and FY 2014-15) periods. The overall six year framework is presented in Appendix A-1 showing revenues and program outlays for this $1.4 billion in new funding

While staff is presenting this overall programming framework, the Commission is being requested to adopt funding commitments for the first three-year period of as part of this resolution (Cycle 1, ARRA Backfill, and initial contingency priorities for "anticipated" revenues). In approximately two years, the Partnership and Commission will revisit the final three years of programming as laid out by the overall policy framework, once the new transportation authorization act has been enacted giving the region the opportunity to assess developments in revenue, new program requirements and regulations; and individual program issues

Programming of "anticipated" funding will await federal authorization legislation which will establish authorization levels and the availability of this funding increment. Then this resolution

will be revised by the Commission to provide this funding to T2035 core programs as designated in these Cycle 1 STP/CMAQ policies.

General Programming Policies

1. **Public Involvement.** MTC is committed to a public involvement process that is proactive and provides comprehensive information, timely public notice, full public access to key decisions, and opportunities for continuing involvement. MTC provides many methods to fulfill this commitment, as outlined in the *MTC Public Participation Plan*, Resolution No. 3821. The Commission's adoption of the STP/CMAQ Cycle 1 program, including policy and procedures meet the provisions of the MTC *Public Participation Plan*. MTC's advisory committees and the Bay Area Partnership have been consulted in the development of funding commitments and policies for this program; and opportunities have been provided to other stakeholders and members to comment.

   Furthermore, investments made in the STP/CMAQ program must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. Additionally, when asked to select projects for funding at the county level, CMAs must consider equitable solicitation and selection of project candidates in accordance with federal Title VI requirements.

2. **2009 Transportation Improvement Program (TIP).** Projects approved as part of the Cycle 1 STP/CMAQ program must be amended into the 2009 TIP. The federally required TIP is a comprehensive listing of all San Francisco Bay Area transportation projects that receive federal funds, and/or are subject to a federally required action, such as federal environmental clearance, and/or are regionally significant for air quality conformity or modeling purposes.

3. **Minimum Grant Size.** STP/CMAQ grants per project cannot be programmed for less than $500,000 for counties with a population over 1 million (Alameda, Contra Costa, and Santa Clara counties) and $250,000 for counties with a population under 1 million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma counties). CMAs may request exceptions through the strategic plan process, especially when balancing the objective of using the Local Streets and Roads distribution formula. The objective of this requirement is to minimize the number of federal-aid projects, which place administrative burdens on project sponsors, MTC, Caltrans, and Federal Highway Administration staff.

4. **Commission Approval of Programs and Projects.** Federal funds are not accessible to a project sponsor unless they are included or "programmed" in the Transportation Improvement Program (TIP). The following steps lead up to the final TIP programming action by the Commission, which constitutes the final approval of funding to a program or project:

   a) Program Development including the development of objectives, eligibility criteria, and program rules. With the exception of indivisible projects/programs where no subsequent project selection occurs, many programs will require the subsequent

selection of a set of projects that meet the program rules and criteria. In this case, staff further develops federal funding programs in cooperation with the Partnership including public input; and takes the final program policy/rules or any subsequent revisions to the Commission for approval.

b) Selection of Projects: A program and its policies, which are approved by the Commission, govern the selection of projects. Attachment B, "Project List", to Resolution 3925 sets forth the programs and projects to be funded under the Cycle 1 Programming Policy. Depending on project selection responsibility, there are two scenarios:

- Outside agency staff and their governing boards (i.e. Congestion Management Agencies) manage a project selection process. For example, responsibility for project selection for a given Cycle 1 funding program (i.e. County TLC Program, Local Streets and Roads Rehabilitation Shortfall Program, Regional Bicycle Program) is assigned to Congestion Management Agencies (CMAs). In this case, the Commission will revise the TIP to include the resulting projects; and Attachment B may be amended by MTC's Executive Director to reflect these revisions.
- MTC staff and the Commission manage a project selection process. For example, responsibility for the project selection for a given Cycle 1 funding program (i.e. Regional TLC Program, Climate Initiatives) where responsibility for project selection in the framework of a Cycle 1 funding program is assigned to MTC, TIP amendments and a revision to Attachment B will be taken to the Commission for its review and approval.

c) TIP Revisions: All projects selected for funding in the Cycle 1 program must be in the TIP. Therefore, MTC will take action on each project as the funds are included in a TIP or any subsequent revision to a TIP project listing. MTC's Executive Director may update Attachment B to reflect approval of the funds in the TIP.

5. **Air Quality Conformity.** In the Bay Area, it is the responsibility of MTC to make an air quality conformity determination for the TIP in accordance with federal Clean Air Act requirements and Environmental Protection Agency (EPA) conformity regulations. MTC evaluates the impact of the TIP on regional air quality during the biennial update of the TIP. Since the 2009 air quality conformity finding has been completed for the 2009 TIP, no non-exempt projects that were not incorporated in the finding will be considered for funding in the Cycle 1 Program until the development of the 2011 TIP during spring 2010. Additionally, the U.S. Environmental Protection Agency designated the Bay Area as a non-attainment area for PM 2.5 starting December 14, 2009. Within 12 months of effective date of this classification, based on consultation with the MTC Air Quality Conformity Task Force, projects deemed "Projects of Air Quality Concern" must complete a hot-spot analysis required by the Transportation Conformity Rule. Generally Projects of Air Quality Concern are those projects result in significant increases in the number of or emissions from diesel vehicles.

6. **Environmental Clearance.** Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section

21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.), and the National Environmental Protection Act (42 USC Section 4-1 et seq.) standards and procedures for all projects with Federal funds.

7. **Application, Resolution of Local Support**. Project sponsors/ implementing agencies must submit a completed project application for each project proposed for funding through MTC's Funding Management System (FMS). The project application consists of two parts: 1) an application submittal and/or TIP revision request to MTC staff and 2) Resolution of Local Support approved by the project sponsor/ implementing agency's governing board or council. A template for the resolution of local support can be downloaded from the MTC website using the following link:
http://www.mtc.ca.gov/funding/STPCMAQ/STP_CMAQ_LocalSupportReso.doc
Sponsors of projects that have previously received STP/CMAQ or State Improvement Program (STIP) funds may rely on the prior Resolution of local support prepared for the same project, provided that the project scope remains unchanged.

8. **Project Screening and Compliance with Regional and Federal Requirements.** MTC staff will perform a review of projects proposed for the Cycle 1 STP/CMAQ Program to ensure 1) eligibility; 2) RTP consistency; and 3) project readiness. In addition, project sponsors must adhere to directives such as "Complete Streets" (MTC Routine Accommodations for Bicyclists and Pedestrians); and the Regional Project Funding Delivery Policy as outlined below; and provide the required non-federal matching funds. Project sponsors should note that fund source programs, eligibility criteria, and regulations may change as a result of the passage of new surface transportation authorization legislation. In this situation, MTC staff will work to realign new fund sources with the funding commitments approved by the Commission.

   ▶ Federal Project Eligibility: STP has a wide range of projects that are eligible for consideration in the TIP. Eligible projects include, federal-aid highway and bridge improvements (construction, reconstruction, rehabilitation, resurfacing, restoration, and operational), mitigation related to an STP project, public transit capital improvements, pedestrian, and bicycle facilities, and transportation system management, transportation demand management, transportation control measures, surface transportation planning activities, and safety. More detailed eligibility requirements can be found in Section 133 of Title 23 of the United States Code.

   CMAQ funding applies to new or expanded transportation projects, programs, and operations that help reduce emissions. Eligible project categories that meet this basic criteria include: Transportation activities in approved State Implementation Plan (SIP), Transportation Control Measures (TCMs), public-private partnerships, alternative fuels, traffic flow improvements, transit projects (facilities, vehicles, operating assistance up to three years), bicycle and pedestrian facilities and programs, travel demand management, outreach and rideshare activities, telecommuting programs, intermodal freight, planning and project development activities, Inspection and maintenance programs, magnetic levitation transportation technology deployment program, and experimental pilot projects. For more detailed guidance see the *CMAQ Program Guidance* (FHWA, November 2008).

▶RTP Consistency: Projects included in the Cycle 1 STP/CMAQ Program must be consistent with the adopted Regional Transportation Plan (RTP), according to federal planning regulations. Each project included in the Cycle 1 Program must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number or reference.

▶Complete Streets (MTC Routine Accommodations of Pedestrians and Bicyclists Policy): Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. MTC's Complete Streets policy (Resolution No. 3765) created a checklist that is intended for use on projects to ensure that the accommodation of non-motorized travelers are considered at the earliest conception or design phase. The county Congestion Management Agencies (CMAs) ensure that project sponsors complete the checklist before projects are submitted to MTC. CMAs are required to make completed checklists available to their Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to project programming in the TIP. Other state policies include, Caltrans Complete Streets Policy Deputy Directive 64 R1 which stipulates: pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products and SB 1358 California Complete Streets Act, which requires local agency general plan circulation elements to address all travel modes.

▶Regional Project Delivery Policy. Cycle 1 STP/CMAQ funding is available in the following three fiscal years: FY 2009-10, 2010-11, and 2011-12. Funds may be programmed in any one of these years, conditioned upon the availability of obligation authority (OA). This will be determined through the development of an annual obligation plan, which is developed in concert with the Partnership and project sponsors. However, funds MUST be obligated in the fiscal year programmed in the TIP, with all Cycle 1 funds to be obligated no later than April 30, 2012, except the Lifeline Transportation Program (LTP), Doyle Drive Presidio Parkway, the small/northbay transit operators projects subject to the MTC Resolution 3814 transit payback commitment, projects subject to the dissolution of the redevelopment agencies, and Climate Initiative Innovative Grant projects. Specifically, the funds must be obligated by FHWA or transferred to Federal Transit Administration (FTA) within the federal fiscal year that the funds are programmed in the TIP. The LTP funds advanced from Cycle 2 have an obligation deadline consistent with the LTP requirements.

All Cycle 1 funding is subject to the Regional Project Funding Delivery Policy and any subsequent revisions (MTC Resolution No. 3606). Obligation deadlines, project substitutions and redirection of project savings will continue to be governed by the MTC Regional Project Funding Delivery Policy, which enforces fund obligation deadlines, and project substitution for STP and CMAQ funds. All funds are subject to award, invoicing and project close out requirements. Project sponsors must sign project supplementary agreements and award construction contracts within six months of obligation; and subsequently request reimbursements every six-twelve months to

keep grants active. The failure to meet these deadlines will result in the deobligation of any unexpended fund balances for the project.

- Local Match. Projects funded with STP or CMAQ funding requires a non-federal local match. Based on California's share of the nation's federal lands, the local match for STP and CMAQ is 11.47% of the total project cost. The FHWA will reimburse up to 88.53% of the total project cost. Project sponsors are required to provide the non-federal match, which is subject to change.

- Fixed Program and Specific Project Selection. Projects are chosen for the program based on eligibility, project merit, and deliverability within the established deadlines. The regional STP/CMAQ program is project specific and the STP and CMAQ funds programmed to projects are for those projects alone. The STP/CMAQ Program funding is fixed at the programmed amount; therefore, any cost increase may not be covered by additional STP and CMAQ funds. Project sponsors are responsible for securing the necessary non-federal match, and for cost increases or additional funding needed to complete the project including contingencies.

- Priority Development Areas (PDA) Based Funding Decisions: In Transportation 2035, the Commission's transportation/land use and climate change policies seek to align "focused growth" land use principles and transportation investments. As part of the ARRA program adoption last February, the Commission directed staff to begin developing a PDA investment strategy in advance of the new federal authorization. As it relates to the New Act programming, the following policies support PDA based funding strategies:

  - *Transportation for Livable Communities:* All TLC projects must be located in priority development areas with additional weight given in project evaluation depending on whether the projects are in planned or proposed PDAs and based on proposed development intensity.
  - *Climate Initiatives:* For the Innovative Grant element of the Climate Initiative, priority will be given to projects that are in PDAs, in addition to other program criteria and weighting factors.
  - *Rehabilitation* – Streets and Roads and Transit: The current distribution formula prioritizes funding for local jurisdictions that are considered high-intensity PDAs. The allocation formula for streets and roads rehabilitation contains four factors, weighted 25% each, including population, lane mileage, arterial and collector shortfall, and preventive maintenance performance. The population and lane mileage factors result in the support of PDAs. To ensure this PDA emphasis, CMAs should, in general, use the same allocation formula for streets and roads distribution within the counties. The CMAs, through a required Strategic Plan, may proposal some modifications, including deferring some jurisdiction programming to Cycle 2 or using local funds, to address the competing objective of adhering to federal grant minimums.

PROGRAMMING CATEGORIES

The below table presents the New Act, Cycle 1 STP/CMAQ Program commitments followed by their program descriptions. In October the Commission approved STP/CMAQ funding for Regional Planning and Regional Operations programs, which was directed to continuing the on-going programs from SAFETEA that have a basis in the needs identified in Transportation 2035. Specific programs, projects and their Cycle 1 funding amounts are listed in Attachment B, including anticipated Cycle 2 commitments for information purposes. Additionally Appendix A-2 presents the specifics on the schedules of the various programs under the Cycle 1 STP/CMAQ program.

Cycle 1 Funding Summary (millions $, rounded)

Program Categories	ARRA Backfill TE/RTIP/CMIA Commitments	STP/CMAQ Commitments	3-year Total
1. SAFETEA OA Carryover	0	$54	$54
2. Regional Planning	0	$23	$23
3. Regional Operations	0	$84	$84
4. Freeway Performance Initiative	$74	$31	$105
5. Climate Initiatives	0	$80	$80
6. Regional Bicycle Program	$8	$19	$27
7. Transportation for Livable Communities	$0	$85	$85
8. Transit Capital Rehabilitation*	$0	$0	$0
9. Regional Streets and Roads Rehabilitation	$0	$100	$100
10. Strategic Investments	$31	$9	$40
TOTAL Commitments			**$ 598**

*This program will be funded in Cycle 2 to align with the time period when needs occur.

1. SAFETEA Obligation Authority (OA) Carryover ($54 million)

This obligation to payback OA owed to other regions in the State results in corresponding fund capacity reductions to the overall New Act program. As the MTC region enters the New Act with a negative carryover of $54 million, it remains uncertain how soon this OA payback would be requested by Caltrans, depending on OA used by other regions in the State. It is noteworthy, that MTC's ability to obligate quickly in the earlier years could be viewed as beneficial by Caltrans, allowing later payback of OA. In any event, it is prudent to anticipate payback during Cycle 1.

2. Regional Planning Activities ($23 million—potentially up to $27 million)

This program provides funding to the nine county Congestion Management Agencies (CMAs), the Association of Bay Area Governments (ABAG), the San Francisco Bay Area Conservation and Development Commission (BCDC), and MTC to support regional planning activities. The

$23 million funding level reflects the Transportation 2035 commitment level by escalating at 4% per year from the base amount in FY 2008-09. In addition, it is proposed that the nine county CMAs will have the ability to use up to 4% of their respective block grants to supplement their planning revenues ($4 million which would be deducted from the STP/CMAQ allocated to the Regional Bicycle, TLC, and Regional Streets and Roads programs, managed by the CMAs.) These additional funds will be programmed for CMA planning activities and deductions made to the other programs once the CMAs make a request to MTC. (See Appendix A-3)

2. Regional Operations ($84 million)

This program includes projects which are administered at the regional level by MTC, and includes funding to continue regional operations programs for TransLink®, 511, and Incident Management. In response to the elimination of STA funding to the Regional Operations Programs, an increment of $2.5 million has been added, as compared to Transportation 2035 assumptions for MTC project staff costs through FY 2012-13. Funding for this purpose in Cycle 2 will depend on the State of California fiscal situation. The program category is broken down into the following projects with their respective Cycle 1 grant amounts (rounded to nearest million dollars):

- TransLink® $29 million
- 511 $34 million
- Regional Marketing $ 2 million
- Incident Management $18 million

4. Freeway Performance Initiative ($105 million)

This program builds on the proven success of recent ramp metering projects that have achieved significant delay reduction on Bay Area freeways at a fraction of the cost of traditional highway widening projects. Eight metering projects are proposed, targeting high congestion corridors. These projects, listed in Appendix A-4, also include Traffic Operations System elements to better manage the system. MTC staff has been working with Caltrans and the CMAs to develop this system management program to provide sustainable and reliable congestion relief. MTC will perform overall program oversight and are currently pursuing innovative project delivery options, including design-build. This category includes $1.9 million per year, for a total of $5.7 million for performance monitoring activities, regional performance initiatives implementation and Regional Signal Timing Program.

5. Climate Initiatives ($80 million)

The Cycle 1 program has four primary elements: 1) Public Education / Outreach; 2) Safe Routes to Schools; 3) Innovative Grants; and 4) Climate Action Program Evaluation. Within the total program amount, $3 million is also proposed to fund CMAQ eligible projects in Eastern Solano County per an agreement that covers the Sacramento Air Basin. The table below presents the program components and grant amounts, followed by program descriptions:

Cycle 1 Climate Intiatives Program Components and Funding (million $s)		
Program Components	Cycle 1 Program	%
	80	100%
Eastern Solano CMAQ	3	
Public Education / Outreach	10	13%
Safe Routes to Schools	17	23%
Innovative Grants	31	
SFgo*	15	60%
Climate Action Program Evaluation	4	5%
Total	80	100%

*Assumes SFgo partly funded in first cycle ($15M) and partly in second cycle ($5M)

Eastern Solano CMAQ Program ($3 million): These CMAQ funds come to MTC by way of the Sacramento Metropolitan Air Quality Management District's air basin which overlaps with the MTC region in Eastern Solano County. The Solano Transportation Authority will select projects in consultation with MTC and the Sacramento Air District per the existing memorandum of understanding.

Public Education / Outreach ($10 million): The objective of this program is to develop a regional campaign to reduce greenhouse gas emissions, influence the public to make transportation choices to reduce these emissions, and evaluate the effectiveness of strategies used. The following specific tasks are included:

- Launch a branded, Bay Area climate campaign in 2011;
- Develop tools to encourage smart driving or other emission reduction strategies; and
- Support school and youth programs to train the next generation.

This program will be further developed by MTC staff in cooperation with the Bay Area Air Quality Management District.

Safe Routes to Schools ($17 million): This element further implements Safe Routes to Schools (SR2S) programs region-wide with the overall goal of significantly reducing emissions related to school-related travel. It also increases the ability of Bay Area jurisdictions to compete for state and federal SR2S infrastructure grants. Within the SR2S program, $15 million is distributed among the nine Bay Area counties based on K-12 school enrollment. An additional $2 million would be available on a competitive basis to one or more counties to expand implementation of creative school-related emission reduction strategies and to determine their effectiveness and potential replication throughout the Bay Area. Appendix A-5 details the county distribution.

Innovative Grant Program ($46 million - $31 million competitive and $15 million for SFgo): The purpose of Innovative Grant Program is to fund a smaller number of higher-cost/higher-impact/innovative projects on a broader geographic scale (i.e., citywide or countywide). The Innovative Grant Program would achieve two basic objectives:

- Test the effectiveness of three strategies that have high potential for reducing emissions, but have not been sufficiently tested for replication on a larger scale throughout the Bay Area. Included in this category are: 1) Parking management/innovative pricing policies; 2)

Acceleration of efforts to shift to cleaner, low GHG vehicles; and 3) Transportation demand management strategies.

- Generate more Bay Area innovation and engage local communities by funding up to five major transportation-related projects that expand or combine strategies to measurably reduce emissions and showcase results at specific locations to increase understanding about whether these strategies result in cost-effective emission reduction and, if successful, how the results could be replicated elsewhere. Included in this category are: 1) Initiatives defined in locally-adopted Climate Action Plans or plan equivalent; or 2) Expansion of other innovative ideas that have yet to be fully evaluated as to their cost-effectiveness

This program is regionally competitive, giving higher priority to projects that are located in priority development areas (PDAs) and projects that offer contributions from other sources to leverage the CMAQ investment and build partnerships. The process for soliciting projects includes regional workshops, an abbreviated request for interest, and a more involved request for project proposals from projects deemed most promising from the request for interest review.

The staff proposal continues to include $20 million for the SFgo project as a component of the Climate Initiatives Program but recommends that the funding be split over the two cycles ($15 million in Cycle 1 and $5 million in Cycle 2) to provide more funding for the competitive innovative grant program. Should additional "anticipated" revenues become available, staff proposes to accelerate the remaining $5 million for SFGo. Further, if SFgo receives $5 million in other discretionary funding during Cycle 1, $5 million will revert to the Innovative Grant program. SFgo would support implementation of one of the region's Small Starts priorities - Van Ness Avenue BRT -- by upgrading the network communications infrastructure to install transit signal priority. The SFgo project includes traffic signal controllers linked by fiber-optic interconnect conduit and related communications systems to enable transit signal priority and optimize signal timings on Van Ness Muni routes and vehicles on crossing routes.

Climate Action Program Evaluation: The evaluation element is intended to serve a twofold purpose: 1) provide additional data for ongoing evaluation efforts that estimate project/program greenhouse gas emission impacts, including co-benefits for other criteria pollutants; and 2) assess the overall effectiveness of projects and programs funded by the Climate Action Program, including public education/outreach, SR2S, and innovative grants.

While the Safe Routes to Transit (SR2T) program is not currently being recommended as a stand-alone program element, staff recommends that a focused assessment and marketing program be conducted for the RM2-funded SR2T program during Cycle 1. Staff intends to work closely with the East Bay Bicycle Coalition and TransForm to design a SR2T evaluation and marketing program that evaluates selected in-progress and approved future projects and promotes the benefits and availability of selected existing projects and projects currently under development.

6. Regional Bicycle Program ($27 million)

Under Transportation 2035, these funds will be applied to completing the remaining unconstructed projects on the 2,100 mile Regional Bikeway Network in the MTC region. This includes completion of all on-street and grade separated bicycle and pedestrian paths in every

county. While the program does not specifically include pedestrian projects, shared use paths benefit both cyclists and pedestrians. The proposed distribution of $19.5 million to the counties is based on a hybrid formula consisting of 50% population, 25% bikeway network capital cost, and 25% unbuilt bikeway network miles. The distribution also includes a partial payback to counties that did not receive their population share under the regionally competitive Regional Bicycle and Pedestrian Program during SAFETEA with the remaining half of the payback proposed in Cycle 2. The $7.5 million in Transportation Enhancement portion of this program is subject to 2010 State Transportation Improvement Program rules. (See Appendix A-6 for fund distribution)

7. Transportation for Livable Communities (TLC) ($85 million)
$85 million is provided in Cycle 1 to allow for a TLC pilot program to launch a new approach based on discussions with our partners and stakeholders. In September, the Planning Committee approved several elements for the next TLC funding cycle including (1) the use of TLC funds to incentivize development in Priority Development Areas, (2) the size of TLC grants, (3) a menu of eligible program categories, including streetscapes (current program eligibility), as well as several new categories: non-transportation infrastructure, transportation demand management, and density incentives such as land banking or site assembly, and (4) split between the regional (2/3) and local (1/3) funding. TLC program funding will also support the Station Area Planning Grant program. The guidelines for the regional TLC program are included in the memorandum approved by the Commission in September 2009. (See Appendix A-7 for fund distribution)

8. Transit Capital Rehabilitation Shortfall ($0)
This program would not receive New Act funding until Cycle 2 ($125 million). This is supported by an assessment of 10-year needs and revenues showing that Federal Transit Administration formula funds exceed capped needs through FY2013. Consequently New Act funding needs will occur during Cycle 2 to address transit capital shortfalls in the region as identified in Transportation 2035. The program objective, as in the past, is to assist transit operators to fund major fleet replacements, fixed guideway rehabilitation and other high-scoring capital needs that cannot be accommodated within the Transit Capital Priorities program.

9. Regional Streets and Roads Rehabilitation ($100 million): This program addresses rehabilitation shortfalls on the regional local streets and roads network. The program category amount includes $15 million for Federal Aid Secondary commitments direct to counties; $6 million for the Pavement Management Program (PMP) and Pavement Technical Assistance Program (PTAP). The balance of $65 million will be distributed to local jurisdictions by the CMAs to fund streets and roads rehabilitation projects. Details of these three program components follow:

- Federal Aid Secondary (FAS) Program Set-Aside: With the passage of ISTEA and the dissolution of the Federal Aid Secondary (FAS) program, California statutes guarantee the continuation of minimum funding to counties, guaranteeing their prior FAS shares. This entire six-year minimum requirement will be addressed upfront in Cycle 1. The funding will be programmed directly to the respective counties. (See Attachment B for fund distribution
- PTAP provides grants to local jurisdictions to perform regular inspections of their local streets and roads networks and to update their pavement management systems, which is a

requirement to receive certain funding. PMP implements various data collection and analysis efforts including local roads needs assessments and inventory surveys, asset management analysis, training, and research and development of pavement and non-pavement preservation management techniques. These efforts feed into a number of the region's planning and asset management efforts

- Local Streets and Roads Shortfall Program: Funding is distributed down to a jurisdiction level using the formula previously agreed to by the Bay Area Partnership to fund streets and roads rehabilitation needs on the federal-aid system. Each of the formula factors are weighted 25 percent and the latest calculations available will be used to determine proportional shares. Funding for street and road rehabilitation will be distributed by an approved formula that uses jurisdictions' proportionate share of the region's population, lane mileage, Metropolitan Transportation System (MTS) funding shortfall and preventive maintenance performance score. (See Appendix A-8 for fund distribution.) In the case of Santa Clara County additional flexibility shall be given with respect to the distribution formula. Specifically, the CMA needs to work with the County of Santa Clara in distributing the Local Streets and Roads Shortfall Program funds to account for the Santa Clara County expressway system.

10. Strategic Investments ($40 million): Three projects are included under this category. The first two build on the momentum and meet the investment priorities of the Corridor Mobility and Trade Corridor programs. The third restores of partial funding to transit programs and projects that lost funding as a result of state and federal funding cuts, carrying through prior Commission commitments. A brief description of each project as well as the proposed funding amount is included below:

- *Corridor Mobility (Santa Clara Interstate 280 to Interstate 880 Direct Connector - $32 million):* This project will provide a direct freeway connector and interchange improvements to improve traffic operations, safety, and access. This project had been a candidate for Proposition 1B funding, and is now proposed as a strategic investment. This project's funding is subject to the availability of funding in the CMIA and RTIP programs as a result of the ARRA backfill; and the project must meet the delivery deadlines associated with these fund sources.
- *Trade Corridor (Richmond Rail Connector - $8 million):* The Richmond Rail Connector is a rail connection between the BNSF Railroad's Stockton Subdivision and Union Pacific Railroad's Martinez Subdivision near San Pablo, CA, just north of Richmond, CA. BNSF and UP, as well as the Capitol Corridor and Amtrak, all operate on the Martinez Subdivision. This project is needed to accommodate and better serve both current and future freight and passenger rail traffic on the Martinez Subdivision rail corridor while reducing the impacts on the local community. The proposed rail connector would eliminate the need for a number of long BNSF trains to continue to travel through downtown Richmond, thereby reducing traffic delays at local grade crossings, as well as vehicle emissions and noise impacts affecting Richmond residents. The $8 million is conditioned on BNSF securing the balance of the project funds. The estimated project cost is approximately $35 million, with 50 percent of the project costs coming from the state Proposition 1B Trade Corridors Improvement Fund (TCIF) program, and additional funds coming from BNSF Railroad. The project must

meet all criteria of TCIF program, including a minimum 1:1 match of the TCIF funds. MTC's funds will augment the local match amount contributed to or secured by BNSF for the project to leverage the TCIF funds.

- *MTC Resolution 3814 Transit Payback Commitment ($0; $31M in Cycle 2):* As part of the Transit Policy established in June 2007, in conjunction with Proposition 1B funding, MTC committed $62 million in future spillover revenues for Lifeline, Small Operators, SamTrans Right-of-way Settlement, and two capital projects – BART to Warms Springs and eBART. Given the proposal to suspend funding to transit for five years, MTC is proposing to meet roughly half of this 10-year commitment through a combination of distributions to-date and the proposed cycle programming. However, the proposal would fully fund the Lifeline and Small Operator commitment while delaying any funding to the two capital projects. The table below provides the proposed distribution:

STA Spillover Funding Agreement Per Resolution 3814 PROPOSITION 1B TRANSIT FUNDING PROGRAM -- POPULATION BASED SPILLOVER DISTRIBUTION						
Apportionment Category	MTC Resolution 3814 Original Schedule	%	FY 2007-08 Spillover Distribution	Unfunded Commitment	Proposed for Funding	Remaining Commitment
Lifeline	$ 10,000,000	16%	$ 1,028,413	$ 8,971,587	$ 8,971,587	$ -
Small Operators / North Counties	$ 3,000,000	5%	$ 308,524	$ 2,691,476	$ 2,691,476	$ -
BART to Warm Springs	$ 3,000,000	5%	$ 308,524	$ 2,691,476	$ -	$ 2,691,476
eBART	$ 3,000,000	5%	$ 308,524	$ 2,691,476	$ -	$ 2,691,476
Samtrans	$ 43,000,000	69%	$ 4,422,174	$ 38,577,826	$ 19,288,913	$ 19,288,913
Total	$ 62,000,000	100%	$ 6,376,158	$ 55,623,842	$ 30,951,976	$ 24,671,865

Should spillover return, the spillover funds could meet this obligation and staff would revisit the need for this pay back commitment. Also, in light of critical financial issues that SamTrans is facing, MTC would program SamTrans' amount as the first priority in Cycle 2, and commit to make this money available to SamTrans in the first year of Cycle 2 (FY 2012-13).

PROGRAM MANAGEMENT AND THE CONGESTION MANAGEMENT AGENCY BLOCK GRANT

Program management responsibilities will generally be split between MTC and the congestion management agencies (CMAs) as outlined in table below. MTC management role is limited to program areas of regional scope or with a network impact. Congestion management agencies would manage programs with a local/community focus.

Program Administration

Transportation 2035 Core Programs	Manager	Block Grant
Freeway Performance Initiative (FPI) and the Regional Signal Timing Program.	MTC, Caltrans and CMAs	
Climate Initiatives (Public Outreach/ Innovative Grants/ Evaluation)	MTC and Bay Area Air Quality Management District	
Climate Initiatives – Safe Routes to School	County – TBD and MTC regional coordination and assistance	
Regional Bicycle Program	CMAs	Yes
Climate Intiatives—Eastern Solano CMAQ	Solano Transportation Authority	
TLC – Regional	MTC	
TLC – County	CMAs	Yes
Regional Streets and Roads Rehabilitation	CMAs	Yes
Transit Capital Rehabilitation	MTC	

Further, for core programs managed by the CMAs, MTC will be making funding available to the CMAs by means of a "PDA block grant" to allow more flexibility and more strategic project selection. The block grant will encompass the Regional Bicycle Program, County TLC Program, and the Local Streets and Roads Shortfall Program. Appendix A-9 presents an overview of the funding made available to the CMAs under their block grants. The block grant program will function as follows:

- **CMA Block Grant Strategic Plan**: By April 1, 2010, CMAs are asked to submit a Strategic Plan to MTC outlining their approach for programming their block grants. This Plan should include:
    - Amount of funds for CMA planning purposes and rationale behind any flexing of program amounts within the Block Grant Programs (beyond the 20% noted above). Examples might include flexibility to deliver on a complete streets approach or deliver investments that better support PDAs. This would be submitted to the Commission for approval.
    - The approach used to select Local Streets and Roads Shortfall Program projects, if it differs from the MTC distribution formula.
    - Federal Funding Minimums: Unique circumstances or hardships may allow for modifications to this policy, which need to be discussed with MTC staff beforehand and included in the plan. Also for the Local Streets and Roads Shortfall Program, in order to balance the objectives of streamlining federal fund expenditures through project minimums and the requirement that CMAs should adhere to the distribution formula down to the jurisdiction level, CMAs may propose to defer some jurisdiction programming to Cycle 2 or to use local funds.
    - Safe Routes to Schools Program (SR2S) recommended county approach, including lead agency for project selection and federal funding recipient, and any

request for additional funding to expand implementation of creative school-related emission reduction strategies. MTC will coordinate the SR2S program, including reviewed and approval of county programs by the Commission. The CMAs are requested to provide assistance in the development of objectives and the definition of agency roles for this program within their respective jurisdictions. These will vary throughout the region and even within a county. There are various lead agencies for current Safe Routes to School programs including bicycle and regional coalitions, departments of health, congestion management agencies, offices of education, and cities. As part of the CMA Block Grant Strategic Plan, the CMA would identify the lead agency for plan implementation, the allocation of funds to specific implementation actions, performance targets, and plan for sustaining the SR2S program beyond the allocation of CMAQ funds.

- Complete Streets: A CMA should explore giving priority to funding projects that demonstrate a "complete streets" design approach by including pedestrian and/or bicycle projects in the project scope.
- Priority Development Area: The CMA should discuss its consideration of priority development areas and policies in its project selection approach.

- **Planning Activities**: Up to 4% may be used by CMAs for planning activities to be applied proportionately to all Block Grant programs within the county. Contract amendments to the Regional Planning agreements in March/April to capture any augmentations.
- **Flex provision**: Up to 20% of each program's funds may be flexed from one Block Grant program to fund another in order to recognize practical project delivery considerations and unique county priorities. CMAs can request flexibility beyond the 20% through their Strategic Plan for consideration by the Commission. Staff will provide a report on the flex provision of Cycle 1 for consideration by the Commission before programming Cycle 2.
- **Minimum Grant Size**: STP/CMAQ grants per project cannot be programmed for less than $500,000 for counties with a population over 1 million (Alameda, Contra Costa, and Santa Clara counties) and $250,000 for counties with a population under 1 million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma counties). CMAs may request exceptions through the strategic plan process, especially when balancing the objective of using the Local Streets and Road distribution formula. The objective of this requirement is to minimize the number of federal-aid projects, which place administrative burdens on project sponsors, MTC and Federal Highway Administration staff.
- **Unified Call for Projects**: CMAs are requested to issue one unified call for projects addressing all of their respective Block Grant programs in early 2010. Final project list is due to MTC by July 30, 2010. Goal is to reduce staff resources, coordinate all programs to respond to larger multi-modal projects, and give project sponsors the maximum time to deliver projects.

- **Project Delivery Deadlines**: CMAs must program their block grant funds over a two-year period with 50 percent programmed in FY 2010-11 and 50 percent in FY 2011-12. Expectation would be that LSR program would use capacity of the earlier year to provide more time for delivery challenges of RBP and TLC programs, but this is not a requirement. The funding is subject to the provisions of the Regional Project Delivery Policy (MTC Resolution 3606) including the Request For Authorization (RFA) submittal deadline of February 1 and the obligation deadline of April 30 of the year the funds are programmed in the TIP.

PROGRAM SCHEDULE

Cycle 1 spans apportionments over three fiscal years: FY 2009-10, FY 2010-11, and FY 2011-12. Programming in the first year will generally be for the on-going regional operations and regional planning activities which can be delivered immediately, allowing the region to meet the obligation deadlines for use of FY 2009-10 funds. This strategy, at the same time, provides several months during FY 2009-10 for program managers to select projects and for MTC to program projects into the TIP to be obligated during the remaining second and third years of the Cycle 1 period.

As a starting point, core programs' STP/CMAQ funds will need to be programmed in the TIP and delivered (obligated), 50% of their funds in each of the F 2010-11 and FY 2011-12 years. However; a program may deviate from this 50-50 percent split, depending on whether other program funding needs can be offset accordingly. Within their block grant programs, CMAs has this flexibility. Subsequently, MTC staff will work with all program managers to develop a cash flow plan based on these needs prior to the start of Federal Fiscal year 2010-11 (July 30, 2010). Ultimately, all Cycle 1 projects must be delivered (funds obligated) by April 30, 2012, except the projects subject to the dissolution of the redevelopment agencies, and Climate Initiative Innovative Grant Program and Lifeline Transportation Program, which have an obligation deadline of February 1, 2015, and the small/northbay transit operators projects subject to the MTC Resolution 3814 transit payback commitment, which has an obligation deadline of April 30, 2015, and the Doyle Drive Presidio Parkway, which has an obligation deadline of April 30, 2016.

PROJECT LIST

Attachment B of Resolution 3925 contains the list of projects to be programmed under the New Surface Transportation Authorization Act, STP/CMAQ Cycle 1 Program. MTC staff will update the attachment to reflect Commission actions to revise the TIP, which address the addition of projects to the TIP, or subsequent project revisions.

Appendix A-1

New Federal Transportation Authorization Act
STP/CMAQ/TE with ARRA Backfill (CMIA/RTIP/TE) Outlay
December 18, 2013

(amounts in millions $)

Program and Project Investments Described in attached summary			Committed ARRA Programming	New Commitments					
				ARRA[1] Backfill CMIA/RTIP/TE	STP/CMAQ Cycle 1	STP/CMAQ RTIP/TE Cycle 2	ARRA Backfill STP/CMAQ RTIP/TE Total	Anticipated Revenue[2]	Total New Commitment
			08/09	08/09	09/10 - 10/11 -11/12	12/13 - 13/14 - 14/15	09/10-14/15	Amount	
Estimated Apportionment Revenues			662	82	561	580	1,222	235	1,457
Annual Programs									
1	Required	SAFETEA OA Carryover *							
2	On-Going	Regional Planning			23	25	48		48
3	On-Going	Regional Operations			84	74	158		158
Total					107	99	206		206
T 2035 Core Programs									
4	Focus 1	Freeway Performance Initiative (FPI) *	19	43	82	66	191	31	222
5	Focus 2	Climate Initiatives *			85	35	120	48	168
6	Focus 2	Regional Bicycle Program	10	8	19	20	47	19	67
7	Focus 2	Transportation for Livable Communities (TLC)			89	96	185	42	228
8	Focus 3	Transit Capital Rehabilitation *	356			125	125	39	164
9	Focus 3	Regional Streets and Roads Rehabilitation *	145		100	77	177	55	232
Total			531	51	376	419	845	235	1,080
Strategic Investments									
10		Safety Projects (Vasco Road and North Bay counties)	13						
11		Express Lane Network (580 and 237/880)	14						
12		Advance Prop 1B Construction (Caldecott Tunnel)	105						
13		Corridor Mobility (SCL I/C Imps)		31	1		32		32
14		MTC Res 3814 Transit Payback Commitment			31		31		31
15		Trade Corridor (Richmond Rail Connector)			8		8		8
16		Suicide Deterrent System (GGBHTD Exchange)			5		5		5
17		Doyle Drive/Presidio Parkway *			34		34		34
Total			131	31	79		110		110

NOTE: Actual amounts may vary due to rounding

Grand Total			662	82	561	518	1,161	235	1,395

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[1] $112.5 M in ARRA Backfill is included within the $661.9 M ARRA Programming Amount ($105 M in RTIP & CMIA for Caldecott Tunnel and $7.5M for TE)

[2] Anticipated revenues are based on a 10% annual authorization increase as compared to the assumed 4% in the base proposal over six years. Portion available for Cycle 1 programming is $60 million from apportionments over the first three years.

* (1) SAFETEA OA Carryover in Cycle 1 reduced from $54M to $0 to accommodate $20 M advanced for FPI from Cycle 2 to Cycle 1 and $34M directed to Doyle Drive/Presdido Parkway

* (4) Freeway Performance Initiative (FPI) - Assumes $34 million in San Francisco RTIP funding

* (5) Climate Initiatives Includes $20M for SFgo for Cycle 1

* (8) Transit Capital Rehabilitation - Includes Preventive Maintenance

* (9) Regional Streets and Roads Rehabilitation - Includes PTAP and FAS of $28M for Cycles 1 & 2

* (17) Doyle Drive / Presdido Parkway - $34.0M for delivery in either FY 14 or FY 15. Equivalent amount of of $34.0M in future San Francisco RTIP funding to be directed to regional FPI/Express Lanes.

Appendix A-2: Cycle 1 Program and Policies Summary

PROGRAM	Eligible Projects	Level of Project Solicitation (How to Apply for funding)	Timing of Project Solicitations/ Programming	Cycle 1 Funding*
Regional Planning	Planning and programming support activities	MTC to develop funding agreements with the CMAs, BCDC and ABAG outlining the use of funds.	N/A	$23 million
Regional Operations	This program category aims to manage the regional transportation system to improve the transportation system for users through traffic management, traveler information efforts, and transit service improvements.	MTC will program these projects directly into the TIP.	N/A	$84 million
Freeway Performance Initiative	Ramp metering projects on the State Highway system, targeting high congestion corridors.	Projects selected in consultation with Caltrans. See Appendix A-4	N/A	$105 million
Climate Initiative	The Cycle 1 program has four primary elements: 1) Public Education / Outreach; 2) Safe Routes to Schools; 3) Innovative Grants; and 4) Climate Action Program Evaluation. Within the total program amount, $3 million is also proposed to fund CMAQ eligible projects in Eastern Solano County per an agreement that covers the Sacramento Air Basin.	Public Education/Outreach to be developed in cooperation with the Air District. SR2S will be developed with the CMAs. Remaining elements are regionally competitive E. Solano CMAQ Projects – CMA will solicit projects and subsequently submit an approved list of projects to MTC for final approval into the TIP.	First half of 2010	$80 million
Regional Bicycle Program	Funding will be directed to projects that complete the Regional Bikeway Network. Projects are required to demonstrate a mode shift to bicycling and provide access to regional destinations, connections and routes.	The CMAs will select projects for the County RBP Program and subsequently submit an approved list of projects to MTC for final approval into the TIP. $7.5M TE will be funded through the 2010 STIP.	First half of 2010	$27 million ($7.5M of this amount is STIP funding)

*Funding does not include anticipated funds.

PROGRAM	Eligible Projects	Level of Project Solicitation (How to Apply for funding)	Timing of Project Solicitations/ Programming	Cycle 1 Funding*
Transportation for Livable Communities (TLC)	Regional TLC Program Station Area Planning Grant Program (SAP) County TLC Program	MTC will solicit projects and program into the TIP CMAs will select projects for the County TLC Program and subsequently submit an approved list of projects to MTC for final approval into the TIP	First Call: Winter 2010; Future call TBD SAP call: Summer 2010 First half of 2010	$85 million
Transit Capital Rehabilitation	This program addresses transit capital shortfalls in the region as identified in Transportation 2035.	To be determined during the development of Cycle 2.	Specific projects to be determined during Cycle 2.	$0; needs occur during Cycle 2
Regional Streets and Roads Rehabilitation	$6 million of this program will be used towards the continuation of the Pavement Technical Assistance Program (PTAP) Local roadway (pavement or non-pavement) rehabilitation projects on the Federal-Aid System (MTS)	MTC will conduct call for projects for PTAP funding. Counties will program FAS set-aside directly into the TIP. CMAs will solicit projects using the remaining balance, select projects, and subsequently submit an approved list of projects to MTC for final approval into the TIP.	Annual grant cycle First half of 2010	$100 million
Strategic Investments	• Corridor Mobility (Santa Clara Interstate 280 to Interstate 880 Direct Connector - $32 million): • Trade Corridor (Richmond Rail Connector - $8 million)	N/A	N/A	$40 million
Total Cycle 1 Program:				$544 million

*Funding does not include anticipated funds.

Appendix A-3
New Act Cycle 1 STP/CMAQ
Regional Planning Activities (PL)
December 16, 2009

(thousands $)

County CMA Planning Activities	09-10	10-11	11-12	Total
Alameda	822	855	889	2,566
Contra Costa	650	676	703	2,029
Marin	572	595	619	1,786
Napa	572	595	619	1,786
San Francisco	598	622	647	1,867
San Mateo	572	595	619	1,786
Santa Clara	910	946	984	2,840
Solano	572	595	619	1,786
Sonoma	572	595	619	1,786
County CMA Planning SubTotal	5,840	6,074	6,318	18,232
Regional Agency Planning Activities				
ABAG	572	595	619	1,786
BCDC	286	298	310	893
MTC	572	595	619	1,786
Regional Planning SubTotal	1,430	1,488	1,548	4,465
Regional Planning Program Grand Total	7,270	7,562	7,866	22,697

Appendix A-4
New Act Cycle 1 STP/CMAQ/CMIA/RTIP
Freeway Performance Initiative (FPI) Project List
September 22, 2010

PRIOR ARRA COMMITMENTS

(thousands $)

Caltrans EA	Route	Location	Description	Capital costs	Support costs	Total Cost	Committed ARRA	Cumulative ARRA
15340	SM 280	SB; Route 1 to Route 380	9 RMs	$4,900	$2,100	$7,000	$7,000	$7,000
15130	SCL 280	SB; Menker to 11th	8 Ramp Meters (RMs)	$5,000	$2,000	$7,000	$7,000	$14,000
15034	SCL 280	NB; Vine to Leland	7 RMs	$3,400	$1,600	$5,000	$5,000	$19,000
							Committed ARRA Subtotal	$19,000

NEW ACT CYCLE 1 (FY 09/10 - FY 11/12)

Caltrans EA	Route	Location	Description	Capital costs	Support costs	Total Cost	Cycle 1 Funding *	Cycle 1 Cumulative Funding
-	-	signal timing, perf. monitoring & implementation					$8,558	$8,558
15300	ALA 92	EB; SM Bridge to Route 880	7 RMs	$3,872	$2,365	$6,237	$6,237	$14,795
15420	SCL 85	Route 280 to Route 101	14 RMs + 14 TOS elements	$8,552	$3,135	$11,687	$4,687	$19,482
15113	ALA 580	Route 880 to SCL Co. line	25 RMs + 69 TOS elements	$12,425	$4,416	$16,841	$6,841	$26,323
15320	SCL 680	Route 101 to ALA co. line	32 RMs + 23 TOS elements	$16,295	$5,611	$21,906	$11,906	$38,229
15310	ALA 680	CC co. line to SCL co. line	30 RMs + 67 TOS elements	$28,112	$8,301	$36,413	$36,413	$74,642
15330	SCL 101	101/85 IC south to SBT co. line	27 RMs + 46 TOS elements	$19,215	$6,612	$25,827	$4,290	$78,932
15350	SOL 80	SR 37 to I-505	42 RMs	$21,000	$7,068	$28,068	$28,068	$107,000
15160	MRN 101	SF Co. Line to SON Co. Line	43 RMs	$23,700	$5,000	$28,700	$5,000	$112,000
TOS22	SOL 80	I-505 to YOL Co. Line	19 RMs + 150 TOS elements	$20,000	$7,000	$27,000	$7,000	$119,000
15270	CC 4	Alhambra Ave. to Loveridge Road	4 RMs + 40 TOS elements	$6,400	$2,500	$8,900	$2,500	$121,500
15148	ALA 880	Davis St to SCL co. line	8 RMs + 60 TOS elements	$10,000	$3,500	$13,500	$3,500	$125,000
							Cycle 1 Subtotal	$125,000

NEW ACT CYCLE 2 (FY 12/13 - FY 14/15)

EA	Route	Location	Description	costs	costs	Total Cost	Funding	Cumulative
-	-	signal timing, perf. monitoring & implementation					$6,000	$6,000
15160	MRN 101	SF Co. Line to SON Co. Line	43 RMs	$23,700	$5,000	$28,700	$23,700	$29,700
TOS22	SOL 80	I-505 to YOL Co. Line	19 RMs + 150 TOS elements	$20,000	$7,000	$27,000	$20,000	$49,700
15270	CC 4	Alhambra Ave. to Loveridge Road	4 RMs + 40 TOS elements	$6,400	$2,500	$8,900	$6,400	$56,100
15148	ALA 880	Davis St to SCL Co. Line	8 RMs + 60 TOS elements	$10,000	$3,500	$13,500	$10,000	$66,100
TOS19	SON 101	Marin Co. Line to Mendocino Co. Line	40 RMs + 108 TOS elements	$24,000	$6,900	$30,900	$30,900	$97,000
							Cycle 2 Subtotal	$97,000

GRAND TOTAL	$241,000

* Project adjustments if needed will be taken to the Commission through a TIP amendment
* Project list updated September 22, 2010. Notable revisions include:
  (1) The elimination of SM 101 because we received state funds;
  (2) Addition of SON 101 and;
  (3) Redirected costs based on recent bid prices.

Appendix A-5
New Act Cycle 1 STP/CMAQ
Safe Routes To School
December 16, 2009

(thousands $)

Estimated Cost of Program	Total School Enrollment (K-12)[1]		Total Annual Funding	Cycle 1 Total Funding
	Attendance	%		
Innovative Approaches				
	TBD	TBD	$667	$2,000
Innovative Approaches SubTotal	**TBD**	**TBD**	**$667**	**$2,000**
Supplemental School Roll-out			**$5,000**	**$15,000**
Alameda	239,163	21%	$1,073	$3,220
Contra Costa	183,230	16%	$822	$2,467
Marin	35,260	3%	$158	$475
Napa	23,406	2%	$105	$315
San Francisco	80,177	7%	$360	$1,079
San Mateo	106,160	10%	$476	$1,429
Santa Clara	300,064	27%	$1,346	$4,039
Solano	69,972	6%	$314	$942
Sonoma	76,836	7%	$345	$1,034
Supplemental School Roll-out SubTotal	**1,114,268**	**100%**	**$5,000**	**$15,000**
Safe Routes To School Grand Total			**$5,667**	**$17,000**

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Notes:

1) Figures from the California Department of Education's website for FY 2008-09 and include both public and private schools

Appendix A-6
New Act Cycle 1 STP/CMAQ
Regional Bicycle Program (RBP)
December 16, 2009

(thousands $)

County	CMAQ Funds	TE Funds *	Total Funds
Alameda	$3,836	$1,557	$5,393
Contra Costa	$2,367	$1,009	$3,376
Marin	$1,649	$294	$1,943
Napa	$605	$183	$788
San Francisco	$1,368	$797	$2,165
San Mateo	$1,739	$827	$2,566
Santa Clara	$4,638	$1,824	$6,462
Solano	$1,349	$477	$1,826
Sonoma	$1,949	$581	$2,530
Totals	**$19,500**	**$7,549**	**$27,049**

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Notes

Transportation Enhancement (TE) funds are programmed as part of the 2010 STIP, a separate Commission action

Appendix A-7
New Act Cycle 1 STP/CMAQ
Transportation for Livable Communities (TLC)
February 22, 2012

($ in thousands)

Estimated Cost of Program	2007 Population	Percentage	Fund Distribution
Regional TLC Program			
Competitive	6,958,473		$60,767
Regional TLC Program Subtotal			**$60,767**
County TLC Program			
Alameda	1,464,202	21.0%	$5,962
Contra Costa	1,019,640	14.7%	$4,152
Marin	248,096	3.6%	$1,010
Napa	132,565	1.9%	$540
San Francisco	764,976	11.0%	$3,115
San Mateo	706,984	10.2%	$2,878
Santa Clara	1,748,976	25.1%	$7,121
Solano	408,599	5.9%	$1,664
Sonoma	464,435	6.7%	$1,891
County TLC Program Subtotal	**6,958,473**	**100.0%**	**$28,333**
Grand Total			**$89,100**

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Appendix A-8
New Act Cycle 1 STP/CMAQ
Local Streets & Roads (LS&R) Shortfall Program Fund Distribution
December 16, 2009

ALAMEDA COUNTY

Jurisdiction	Total Share
County of Alameda	$ 1,167,832
Alameda	$ 872,194
Albany	$ 122,023
Berkeley	$ 994,629
Dublin	$ 570,036
Emeryville	$ 135,621
Fremont	$ 3,028,368
Hayward	$ 1,391,442
Livermore	$ 1,070,502
Newark	$ 710,725
Oakland	$ 3,768,142
Piedmont	$ 69,746
Pleasanton	$ 912,261
San Leandro	$ 840,217
Union City	$ 896,412
COUNTY TOTAL	$ 16,550,149

CONTRA COSTA COUNTY

Jurisdiction	Total Share
County of Contra Costa	$ 1,608,148
Antioch	$ 1,021,185
Brentwood	$ 440,501
Clayton	$ 152,858
Concord	$ 1,149,694
Danville	$ 369,404
El Cerrito	$ 249,814
Hercules	$ 278,080
Lafayette	$ 231,129
Martinez	$ 404,618
Moraga	$ 280,677
Oakley	$ 408,325
Orinda	$ 218,486
Pinole	$ 179,376
Pittsburg	$ 454,372
Pleasant Hill	$ 316,734
Richmond	$ 1,362,912
San Pablo	$ 180,159
San Ramon	$ 441,969
Walnut Creek	$ 993,717
COUNTY TOTAL	$ 10,742,158

MARIN COUNTY

Jurisdiction	Total Share
County of Marin	$ 873,788
Belvedere	$ 23,556
Corte Madera	$ 74,214
Fairfax	$ 63,840
Larkspur	$ 76,244
Mill Valley	$ 128,163
Novato	$ 371,718
Ross	$ 19,390
San Anselmo	$ 108,142
San Rafael	$ 540,115
Sausalito	$ 81,513
Tiburon	$ 74,219
COUNTY TOTAL	$ 2,434,904

NAPA COUNTY

Jurisdiction	Total Share
County of Napa	$ 548,047
American Canyon	$ 202,930
Calistoga	$ 46,553
Napa	$ 970,989
St. Helena	$ 94,985
Yountville	$ 16,489
COUNTY TOTAL	$ 1,879,992

SAN FRANCISCO COUNTY

Jurisdiction	Total Share
San Francisco	$ 7,745,198
COUNTY TOTAL	$ 7,745,198

SAN MATEO COUNTY

Jurisdiction	Total Share
County of San Mateo	$ 650,090
Atherton	$ 98,193
Belmont	$ 276,426
Brisbane	$ 76,353
Burlingame	$ 310,836
Colma	$ 31,863
Daly City	$ 835,767
East Palo Alto	$ 266,321
Foster City	$ 200,296
Half Moon Bay	$ 78,404
Hillsborough	$ 176,757
Menlo Park	$ 250,119
Millbrae	$ 242,031
Pacifica	$ 400,648
Portola Valley	$ 103,135
Redwood City	$ 668,428
San Bruno	$ 390,507
San Carlos	$ 199,706
San Mateo	$ 748,813
So. San Francisco	$ 688,301
Woodside	$ 97,202
COUNTY TOTAL	$ 6,790,197

SANTA CLARA COUNTY*

Jurisdiction	Total Share
County of Santa Clara	$ 1,756,931
Campbell	$ 334,650
Cupertino	$ 450,383
Gilroy	$ 640,094
Los Altos	$ 269,959
Los Altos Hills	$ 98,166
Los Gatos	$ 298,800
Milpitas	$ 692,347
Monte Sereno	$ 31,120
Morgan Hill	$ 477,228
Mountain View	$ 552,215
Palo Alto	$ 572,327
San Jose	$ 8,319,770
Santa Clara	$ 1,211,962
Saratoga	$ 336,183
Sunnyvale	$ 1,191,206
COUNTY TOTAL	$ 17,233,340

SOLANO COUNTY

Jurisdiction	Total Share
County of Solano	$ 1,067,867
Benicia	$ 301,570
Dixon	$ 229,739
Fairfield	$ 1,433,558
Rio Vista	$ 89,091
Suisun City	$ 457,586
Vacaville	$ 1,216,032
Vallejo	$ 1,669,077
COUNTY TOTAL	$ 6,464,521

SONOMA COUNTY

Jurisdiction	Total Share
County of Sonoma	$ 4,769,815
Cloverdale	$ 56,626
Cotati	$ 89,045
Healdsburg	$ 177,125
Petaluma	$ 1,015,233
Rohnert Park	$ 534,215
Santa Rosa	$ 2,032,465
Sebastopol	$ 76,593
Sonoma	$ 69,189
Windsor	$ 339,235
COUNTY TOTAL	$ 9,159,541

BAY AREA SHARES

Jurisdiction	Total Share	% Share
Alameda	16,550,149	20.9%
Contra Costa	10,742,158	13.6%
Marin	2,434,904	3.1%
Napa	1,879,992	2.4%
San Francisco	7,745,198	9.8%
San Mateo	6,790,197	8.6%
Santa Clara	17,233,340	21.8%
Solano	6,464,521	8.2%
Sonoma	9,159,541	11.6%
Total	**79,000,000**	**100.0%**

*In the case of Santa Clara County additional flexibility shall be given with respect to the distribution formula. Specifically, the CMA needs to work with the County of Santa Clara in distributing the Local Streets and Roads Shortfall Program funds to account for the Santa Clara County expressway system.

Appendix A-9
New Act Cycle 1 STP/CMAQ
CMA Block Grant Program
December 16, 2009

(thousands $)

Counties	Regional Bicycle	County TLC	LS&R Rehab.	County Total	CMA Planning (max. 4%)
Alameda	$3,836	$5,962	$16,550	$26,348	TBD
Contra Costa	$2,367	$4,152	$10,742	$17,261	TBD
Marin	$1,649	$1,010	$2,435	$5,094	TBD
Napa	$605	$540	$1,880	$3,025	TBD
San Francisco	$1,368	$3,115	$7,745	$12,228	TBD
San Mateo	$1,739	$2,878	$6,790	$11,407	TBD
Santa Clara	$4,638	$7,121	$17,233	$28,992	TBD
Solano	$1,349	$1,664	$6,465	$9,478	TBD
Sonoma	$1,949	$1,891	$9,160	$13,000	TBD
Totals	**$19,500**	**$28,333**	**$79,000**	**$126,833**	TBD

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Notes

LSR Rehab Does not include PTAP/PMP/FAS

TLC amount reflects one third of total TLC program - to be admininstered by County CMAs

RBP distribution based formula: (50% population/25% cost/25% miles with reconciliation).

TE program component ($7.5 million) is outside of the block grant.

A CMA may deviate from program targets up to 20% for use in the other program categories.

CMAs may optionally deduct up to 4% if the top of their block grant programs (STP/CMAQ) proportionately to fund planning activities. Subsequent deductions would need to be applied to the program amounts excepting the ECMAQ program and $8M of the Transportation Enhancement Funds under the Regional Bicycle Program.

Attachment B

MTC Resolution No. 3925, Attachment B
Adopted: 10/28/09-C
Revised: 12/16/09-C
07/28/10-C 09/22/10-C 10/27/10-C
02/23/10-C 03/23/11-C 05/25/11-C
06/22/11-C 09/28/11-C 10/26/11-C
01/25/12-C 02/22/12-C 03/28/12-C
04/25/12-C 06/27/12-C 07/25/12-C
09/26/12-C 02/27/13-C 05/22/13-C
09/25/13-C 12/18/13-C 02/26/14-C
03/26/14-C 04/23/14-C

METROPOLITAN TRANSPORTATION COMMISSION
T4 New Federal Act FIRST CYCLE Programming
STP/CMAQ/TE/RTIP/CMIA Funding **
MTC Resolution 3925
Project List***
Attachment B
April 23, 2014

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other TE/RTIP/CMIA	Total Cycle 1
T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
1. REGIONAL PLANNING ACTIVITIES (STP Planning)				
Regional Agency Planning Activities				
ABAG Planning	ABAG	$1,786,000	$0	$1,786,000
BCDC Planning	BCDC	$893,000	$0	$893,000
MTC Planning	MTC	$1,786,000	$0	$1,786,000
SUBTOTAL		$4,465,000	$0	$4,465,000
County CMA Planning Activities				
CMA Planning - Alameda	ACTC	$2,566,000	$0	$2,566,000
CMA Planning - Contra Costa	CCTA	$2,029,000	$0	$2,029,000
CMA Planning - Marin	TAM	$1,786,000	$0	$1,786,000
CMA Planning - Napa	NCTPA	$1,786,000	$0	$1,786,000
CMA Planning - San Francisco	SFCTA	$1,867,000	$0	$1,867,000
CMA Planning - San Mateo	SMCCAG	$1,786,000	$0	$1,786,000
CMA Planning - Santa Clara	VTA	$2,840,000	$0	$2,840,000
CMA Planning - Solano	STA	$1,786,000	$0	$1,786,000
CMA Planning - Sonoma	SCTA	$1,786,000	$0	$1,786,000
SUBTOTAL		$18,232,000	$0	$18,232,000
1. REGIONAL PLANNING ACTIVITIES (STP Planning)	**TOTAL:**	**$22,697,000**	**$0**	**$22,697,000**

* NOTE: County CMA Block Grant Planning amounts are at the discretion of the County CMA - up to a maximum of 4% of the total block grant amount.

2. REGIONAL OPERATIONS (RO) PROGRAMS				
Regional Operations				
Clipper® Fare Card Collections System	MTC	$19,772,000	$0	$19,772,000
Clipper® Fare Card Collections System	GGBHTD	$8,900,000	$0	$8,900,000
Clipper® Fare Card Collections System/Preventive Maintenance	SamTrans	$228,000	$0	$228,000
511 - Traveler Information	MTC	$34,500,000	$0	$34,500,000
Regional Transportation Marketing	MTC	$2,100,000	$0	$2,100,000
SUBTOTAL		$65,500,000	$0	$65,500,000
FSP/Incident Management	SAFE	$18,400,000	$0	$18,400,000
SUBTOTAL		$18,400,000	$0	$18,400,000
2. REGIONAL OPERATIONS (RO) PROGRAMS	**TOTAL:**	**$83,900,000**	**$0**	**$83,900,000**
3. FREEWAY PERFORMANCE INITIATIVE (FPI)				
Freeway Performance Initiative				
Regional Performance Monitoring	MTC	$750,000	$0	$750,000
Regional Performance Initiatives Implementation	SAFE	$4,058,000	$0	$4,058,000
Program for Arterial System Synchronization (PASS)	MTC	$3,750,000	$0	$3,750,000
SUBTOTAL		$8,558,000	$0	$8,558,000
Ramp Metering and TOS Elements				
FPI - ALA I-580: SSJ Co. Line to I-880	Caltrans	$2,690,000	$3,535,000	$6,225,000
FPI - ALA I-680: SCL Co. Line to CC Co. Line	Caltrans	$2,100,000	$6,673,000	$8,773,000
FPI - ALA I-880: SCL CO. Line to Davis Street	Caltrans	$2,000,000	$0	$2,000,000
FPI - ALA SR 92 (EB): SM/Hayward Bridge to I-880	Caltrans	$1,617,000	$4,680,000	$6,297,000
FPI - CC SR 4: Alhambra Avenue to Loveridge Road	Caltrans	$28,900,000	$0	$28,900,000
FPI - MRN US 101: SF Co. Line to SON Co. Line	Caltrans	**$13,522,000**	$0	**$13,522,000**
FPI - SCL I-680: US 101 to ALA Co. Line	Caltrans	**$3,657,000**	$7,498,000	**$11,155,000**
FPI - SCL SR 85: I-280 to US 101	Caltrans	$2,068,000	$2,258,000	$4,326,000
FPI - SCL US 101: SBT Co. Line to SR 85	Caltrans	$4,240,000	$0	$4,240,000
FPI - SOL I-80/I-680/SR12 Interchange Modifications	STA/Caltrans	$1,000,000	$0	$1,000,000
FPI - SOL I-80: I-505 to YOL Co Line	Caltrans	$3,700,000	$0	$3,700,000
FPI - SOL I-80: SR 37 to I-505	Caltrans	$3,991,000	$18,313,000	$22,304,000
FPI - SON 101 - MRN Co Line - Men Co Line	Caltrans	$4,000,000	$0	$4,000,000
SUBTOTAL		$73,485,000	$42,957,000	$116,442,000
3. FREEWAY PERFORMANCE INITIATIVE (FPI)	**TOTAL:**	**$82,043,000**	**$42,957,000**	**$125,000,000**
4. CLIMATE CHANGE INITIATIVES (CCI)				
Eastern Solano CMAQ Program				
Vacaville - Ulatis Creek Bicycle Pedestrian Path	Vacaville	$810,000	$0	$810,000
Vacaville Intermodal Station Phase 2	Vacaville	$975,000	$0	$975,000
STA - Solano Napa Commuter Information (SNCI)	STA	$445,000	$0	$445,000

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T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
STA - Solano Safe Routes To School Program	STA	$215,000	$0	$215,000
Solano County - Vacaville-Dixon Bicycle Route - Phase 5	Solano County	$555,000	$0	$555,000
SUBTOTAL		$3,000,000	$0	$3,000,000
Public Education/Outreach				
Public Education Outreach **including SB1339 Implementation**	MTC	**$2,275,000**	**$0**	**$2,275,000**
Electric Vehicle Promotional Campaign	MTC	$925,000	$0	$925,000
Smart Driving Pilot Program	MTC	$500,000	$0	$500,000
Spare the Air Youth Program	MTC	$3,000,000	$0	$3,000,000
Spare the Air	BAAQMD	$3,700,000	$0	$3,700,000
SUBTOTAL		$10,400,000	$0	$10,400,000
Safe Routes To Schools - Regional Competitive				
The BikeMobile: A Bike Repair and Encouragement Vehicle	ACTC	$500,000	$0	$500,000
Venetia Valley School SR2S Imps (Green Ways to School Through Social Networking)	TAM Marin County	$383,000	$0	$383,000
Bay Area School Transportation Collaborative	ACWMA	$867,000	$0	$867,000
Education and Encouragement School Route Maps	STA	$250,000	$0	$250,000
SUBTOTAL		$2,000,000	$0	$2,000,000
Safe Routes To Schools - County				
Specific projects TBD by CMAs				
Alameda County Safe Routes to School Program	ACTC	$2,069,065	$0	$2,069,065
ACE Preventive Maintenance (for local funds directed to Alameda SR2S)	ACE	$1,150,935	$0	$1,150,935
Brentwood School Area Safety Improvements	Brentwood	$432,000	$0	$432,000
Montalvin Manor Pedestrian and Transit Access Improvements	Contra Costa County	$265,000	$0	$265,000
San Ramon Valley Street Smarts' Safe Routes to School Program	Danville	$365,000	$0	$365,000
Moraga Way Pedestrian Pathway	Orinda	$166,000	$0	$166,000
Lisa Lane Sidewalk Project	Pleasant Hill	$250,000	$0	$250,000
Central-East County Safe Routes to School Program	Pleasant Hill	$725,000	$0	$725,000
Richmond Safe Routes to School Cycle 2 Project	Richmond	$264,000	$0	$264,000
Marin Strawberry Point School - Strawberry Drive Pedestrian Imps	TAM	$475,000	$0	$475,000
Napa County Safe Routes to School Program Expansion	NCTPA	$315,000	$0	$315,000
San Francisco Safe Routes to School Education and Outreach	SF Dept. of Public Health	$500,000	$0	$500,000
Sunset and AP Giannini Safe Routes to School Improvements	SFMTA	$579,000	$0	$579,000
San Mateo County Safe Routes to School Program	CCAG	$1,429,000	$0	$1,429,000
Mountain View VERBS Program	Mountain View	$500,000	$0	$500,000
Palo Alto Safe Routes to School	Palo Alto	$528,000	$0	$528,000
San Jose Walk N' Roll - Non Infrastructure	San Jose	$943,000	$0	$943,000
San Jose Walk N' Roll - Safe Access	San Jose	$568,000	$0	$568,000
Santa Clara VERBS Program	Santa Clara (City)	$500,000	$0	$500,000
Santa Clara County Safe Routes to School Program	Santa Clara County	$1,000,000	$0	$1,000,000
Suisun City - Grizzly Island Trail	Suisun City	$300,000	$0	$300,000
STA - Solano County Safe Routes to School Program	STA	$642,000	$0	$642,000
Sonoma County-wide Safe Routes to Schools Improvements	Sonoma County	$1,034,000	$0	$1,034,000
SUBTOTAL		$15,000,000	$0	$15,000,000
Innovative Grants				
Specific projects TBD by Commisison	~~TBD~~	**$0**	**$0**	**$0**
Berkeley Transportation Action Plan (B-TAP)	Berkeley	$2,000,000	$0	$2,000,000
Shore Power Initiative	Port of Oakland	$3,000,000	$0	$3,000,000
Local Government Electric Vehicle (EV) Fleet Replacement	Alameda County	$2,808,000	$0	$2,808,000
Bike-Sharing Pilot Program	BAAQMD	$7,091,000	$0	$7,091,000
Bike-Sharing Program (Phase II)	**BAAQMD/MTC**	**$2,725,000**	**$0**	**$2,725,000**
Cold-In-Place (CIP) Pavement Recycling	City of Napa	$2,000,000	$0	$2,000,000
Bus Automated Vehicle Locators (AVLs)	Santa Rosa	$600,000	$0	$600,000
Dynamic Rideshare	SCTA	$2,375,000	$0	$2,375,000
eFleet: Electric Vehicle (EV) Car Sharing Electrified	SFCTA	$1,700,000	$0	$1,700,000
Electric Vehicle Funding Strategies	TBD	$2,000,000	$0	$2,000,000
Public-Private Partnership TDM	SFCTA	$750,000	$0	$750,000
SFgo	SFMTA	$20,000,000	$0	$20,000,000
Electric Vehicles for Neighborhood Taxis	SFMTA	$988,000	$0	$988,000
TDM Strategies for Redwood City	SamTrans	$1,487,000	$0	$1,487,000
Innovative Bicycle Detection Systems	San Jose	$1,500,000	$0	$1,500,000
Stewart's Point Rancheria Inter-tribal Electric Vehicle Implementation (Exchange)	Stewart's Point Rancheria	$0	$376,000	$376,000

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Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other TE/RTIP/CMIA	Total Cycle 1
T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
SUBTOTAL		$51,024,000	$376,000	$51,400,000
Climate Action Program Evaluation				
Climate Action Program Evaluation	MTC	**$3,200,000**	**$0**	**$3,200,000**
SUBTOTAL		$3,200,000	$0	$3,200,000
4. CLIMATE CHANGE INITIATIVES (CCI)	**TOTAL:**	**$84,624,000**	**$376,000**	**$85,000,000**
5. REGIONAL BICYCLE PROGRAM (RBP) *				
Bike/Ped Program				
Specific projects TBD by County CMAs				
Bicycle - Alameda - Block Grant RBP Implementation	ACTC	$153,000	$0	$153,000
Bicycle - Contra Costa - Block Grant RBP Implementation	CCTA	$47,000	$0	$47,000
Bicycle - Marin - Block Grant RBP Implementation	TAM	$66,000	$0	$66,000
Bicycle - Napa - Block Grant RBP Implementation	NCTPA	$24,000	$0	$24,000
Bicycle - San Francisco - Block Grant RBP Implementation	SFCTA	$55,000	$0	$55,000
Bicycle - San Mateo - Block Grant RBP Implementation	SMCCAG	$70,000	$0	$70,000
Bicycle - Santa Clara - Block Grant RBP Implementation	SCVTA	$186,000	$0	$186,000
Bicycle - Solano - Block Grant RBP Implementation	STA	$54,000	$0	$54,000
Bicycle - Sonoma - Block Grant RBP Implementation	SCTA	$49,000	$0	$49,000
Albany - Buchanan Street Bicycle and Pedestrian Path	Albany	$1,702,000	$0	$1,702,000
Oakland - Various Streets Resurfacing and Bike Lanes (Complete Streets)	Oakland	$435,000	$0	$435,000
Pleasanton - Foothill Road at I-580 Bicycle Lane Gap Closure	Pleasanton	$709,000	$0	$709,000
Union City Blvd Bicycle Lanes Phase I	Union City	$860,000	$0	$860,000
Concord - Monument Blvd Corridor Shared Use Trail	Concord	$486,000	$0	$486,000
Concord - Monument Blvd Corridor Pedestrian and Bikeway Network	Concord	$180,000	$0	$180,000
Pittsburg - North Parkside Drive Bicycle & Pedestrian Facilities	Pittsburg	$900,000	$0	$900,000
Richmond - Barrett Avenue Bicycle Lanes	Richmond	$600,000	$0	$600,000
Larkspur - Dougherty Drive Bikeway	Larkspur	$85,000	$0	$85,000
Sausalito - US 101 Off-Ramp/Brideway/Gate 6 Bicycle Traffic Imps	Sausalito	$88,000	$0	$88,000
TAM - Central Marin Ferry Connection	TAM	$1,410,000	$0	$1,410,000
Napa - Lincoln Avenue Bicycle Lanes	City of Napa	$170,000	$0	$170,000
Napa - California Blvd Bicycle Lanes	City of Napa	$200,000	$0	$200,000
Napa County - Valley Vine Trail Bicycle Path	NCTPA	$211,000	$0	$211,000
San Francisco - Marina Green Trail Improvements	SFDPW	$988,000	$0	$988,000
San Francisco - Cargo Way Bicycle Improvements	Port of San Francisco	$185,000	$0	$185,000
Half Moon Bay - SR-1 Bicycle / Pedestrian Trail	Half Moon Bay	$420,000	$0	$420,000
Redwood City - Bair Island Bay Trail Gap Closure	Redwood City	$337,000	$0	$337,000
Redwood City - Skyway/Shoreway Bicycle Lanes and Imps.	Redwood City	$256,000	$0	$256,000
~~San Mateo - Crystal Springs Regional Trail~~	~~San Mateo County~~	$0	$0	$0
South San Francisco - Bicycle Lanes Gap Closure	South San Francisco	$261,000	$0	$261,000
Campbell Ave Bicycle Lane and Sidewalk	Campbell	$424,000	$0	$424,000
Gilroy - Western Ronan Channel and Lions Creek Bicycle/Ped Trail	Gilroy	$672,000	$0	$672,000
San Jose - Los Gatos Creek Reach 5 Trail	San Jose	$1,200,000	$0	$1,200,000
San Jose San Carlos Multimodal Streetscape - Phase II	San Jose	$50,000	$0	$50,000
Santa Clara - San Tomas Aquino Creek Trail Reach 4 Trail Imps	Santa Clara City	$1,258,000	$0	$1,258,000
Santa Clara - San Tomas Aquino Creek Spur Trail Imps.	Santa Clara City	$1,081,000	$0	$1,081,000
Sunnyvale - Hendy Ave Improvements (Complete Streets)	Sunnyvale	$437,000	$0	$437,000
Fairfield - Linear Park Path Alternate Route (Nightingale Drive)	Fairfield	$221,000	$0	$221,000
Suisun City - Grizzly Island Trail Project	Suisun City	$814,000	$0	$814,000
Healdsburg - Foss Creek New Pathway Segment 6	Healdsburg	$876,000	$0	$876,000
Santa Rosa - SMART/College Ave Bike/Ped Pathway	Santa Rosa	$948,000	$0	$948,000
Sonoma County - SMART Hearn Ave Bike/Ped Trail	Sonoma Co. Reg Parks	$620,000	$0	$620,000
Berkely Bay Trail (TE)	Bekeley	$0	$1,557,000	$1,557,000
Pleasant Hill Road Bicycle/Pedestrian Safety Improvements (TE)	Lafayette	$0	$1,009,000	$1,009,000
Sir Francis Drake Class II Bike Lane (TE)	Marin Couty	$0	$294,000	$294,000
North Yountville Bike Route and Sidewalk Extension (TE)	Yountville	$0	$183,000	$183,000
San Francisco Bicycle Parking Program (Mission/Citywide) (TE)	San Francisco MTA	$0	$235,000	$235,000
Church and Duboce Bicycle / Ped Enhancements	San Francisco MTA	$0	$388,000	$388,000
San Francisco - Pedestrian Safety & Encouragement Campaign	San Francisco MTA	$0	$174,000	$174,000
San Mateo County Bicycle/Pedestrian Enhancements (TE)	San Mateo County	$0	$200,000	$200,000
Bayshore Bicycle Lane	Brisbane	$0	$627,000	$627,000
Gilroy Schools Pedestrain and Bicycle Lane Access Improvements (TE)	Gilroy	$0	$697,000	$697,000
Safe Routes to Schools, Pedestrain and Bicycle Improvements (TE)	Los Altos Hills	$0	$467,000	$467,000

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Campbell Hacienda Avenue Improvements (TE)	Campbell	$0	$159,000	$159,000
Milpitas Escuela Parkway (TE)	Milpitas	$0	$501,000	$501,000
Fairfield/Vacaville Station Ped and Bicycle Track Crossing Enhancements (TE)	Fairfield	$0	$400,000	$400,000
Dixon West B Street Bike/Ped Undercrossing (TE)	STA	$0	$77,000	$77,000
Copeland Creek Bicycle Path Reconstruction (TE)	Rohnert Park	$0	$581,000	$581,000
SUBTOTAL		$19,788,000	$7,549,000	$27,337,000
5. REGIONAL BICYCLE PROGRAM (RBP)	**TOTAL:**	**$19,788,000**	**$7,549,000**	**$27,337,000**
* NOTE: Regional Bicycle Program STP fund administered by County CMAs as part of the Block Grant Program.				
* NOTE: Regional Bicycle Program TE funds to be programmed by County CMAs in 2010 RTIP				
6. TRANSPORTATION FOR LIVABLE COMMUNITES (TLC) *				
TLC / Station Area Planning Implementation				
ABAG Station Area Planning Implementation	ABAG	$450,000	$0	$450,000
MTC Station Area Planning Implementation	MTC	$762,000	$0	$762,000
Station Area Plans				
Central Fremont – City Center	Fremont	$224,000	$0	$224,000
South Fremont/Warm Springs BART Station	Fremont	$276,000	$0	$276,000
Walnut Creek BART	Walnut Creek	$500,000	$0	$500,000
San Francisco Central Corridor, So. segment of the Central Subway	San Francisco	$68,000	$0	$68,000
San Francisco Market Street (Steuart St. to Octavia Blvd.)	San Francisco	$300,000	$0	$300,000
Downtown South San Francisco / Caltrain Station	South San Francisco	$600,000	$0	$600,000
Lawrence Station Area / Sunnyvale and Santa Clara	Sunnyvale	$450,000	$0	$450,000
Priority Development Area (PDA) Planning				
Alameda Naval Air Station	Alameda (City)	$200,000	$0	$200,000
Ashland East 14th Street/Mission Blvd	Alameda County	$400,000	$0	$400,000
Warm Springs/South Fremont BART	Fremont	$300,000	$0	$300,000
Concord Downtown BART	Concord	$480,000	$0	$480,000
Concord Naval Weapons Station/N. Concord BART	Concord	$240,000	$0	$240,000
South Richmond	Richmond	$496,000	$0	$496,000
Treasure Island Mobility Management	San Francisco	$500,000	$0	$500,000
San Francisco Central Corridor EIR Augmentation	San Francisco	$200,000	$0	$200,000
El Camino/San Antonio	Mountain View	$400,000	$0	$400,000
Central Rohnert Park	Rohnert Park	$448,000	$0	$448,000
Unprogrammed (PDA) Planning Reserve	MTC	$1,351,000	$0	$1,351,000
Smart Growth Technical Assistance Program	MTC	$360,000	$0	$360,000
SUBTOTAL		$9,005,000	$0	$9,005,000
Transit Oriented Development (TOD)				
SF Park Parking Pricing *(Transit Oriented Affordable Housing Exchange)*	SFMTA	$10,000,000	$0	$10,000,000
SUBTOTAL		$10,000,000	$0	$10,000,000
Regional Transportation for Livable Communities (TLC) Program				
West Dublin BART Station Golden Gate Dr Streetscape Enhancements	BART	$860,000	$0	$860,000
Berkeley Downtown BART Plaza and Transit Area Imps	BART / Berkeley	$1,805,000	$0	$1,805,000
West Dublin BART Station Golden Gate Dr Streetscape Enhancements	Dublin	$647,000	$0	$647,000
South Hayward BART / Dixon St Streetscape and Access Imps	Hayward	$1,800,000	$0	$1,800,000
Livermore RxR Depot Restoration (for Livermore Land Banking)	Livermore	$2,500,000	$0	$2,500,000
Lakeside Complete Streets and Road Diet	Oakland	$2,200,000	$0	$2,200,000
San Leandro BART-Downtown Pedestrian Interface Imp	San Leandro	$4,610,000	$0	$4,610,000
Union City Intermodal Station East Plaza	Union City	$4,450,000	$0	$4,450,000
Richmond Nevin Avenue Imps	Richmond	$2,654,000	$0	$2,654,000
SF South of Market Alleyways Imp, Phase 2	San Francisco	$1,381,000	$0	$1,381,000
SF 24th Street/Mission BART Plaza and Pedestrian Imps	San Francisco	$2,109,000	$0	$2,109,000
SF Market and Haight Street Transit and Pedestrian Imps	San Francisco	$2,800,000	$0	$2,800,000
SF Phelan Public Plaza and Transit-Oriented Development	San Francisco	$1,120,000	$0	$1,120,000
San Carlos East Side Community Transit Connectivity	San Carlos	$2,221,000	$0	$2,221,000
San Mateo Delaware Street Bike Path and Streetscape	San Mateo	$605,000	$0	$605,000
San Jose The Alameda - A Plan for The Beautiful Way	San Jose	$3,132,000	$0	$3,132,000
San Jose San Fernando Street Enhanced Bikeway and Pedestrian Access	San Jose	$1,425,000	$0	$1,425,000
San Jose San Carlos Multimodal Streetscape - Phase II	San Jose	$2,024,000	$0	$2,024,000

Attachment B

MTC Resolution No. 3925, Attachment B
Adopted: 10/28/09-C
Revised: 12/16/09-C
07/28/10-C 09/22/10-C 10/27/10-C
02/23/10-C 03/23/11-C 05/25/11-C
06/22/11-C 09/28/11-C 10/26/11-C
01/25/12-C 02/22/12-C 03/28/12-C
04/25/12-C 06/27/12-C 07/25/12-C
09/26/12-C 02/27/13-C 05/22/13-C
09/25/13-C 12/18/13-C 02/26/14-C
03/26/14-C 04/23/14-C

METROPOLITAN TRANSPORTATION COMMISSION
T4 New Federal Act FIRST CYCLE Programming
STP/CMAQ/TE/RTIP/CMIA Funding **
MTC Resolution 3925
Project List***
Attachment B
April 23, 2014

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other TE/RTIP/CMIA	Total Cycle 1
T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
Vallejo Downtown Streetscape Phase 3	Vallejo	$400,000	$0	$400,000
Cotati Train Depot	Cotati	$1,516,000	$0	$1,516,000
Petaluma Boulevard South Road Diet	Petaluma	$708,000	$0	$708,000
Santa Rosa Downtown Station Area Utility Infrastructure Upgrade	Santa Rosa	$1,045,000	$0	$1,045,000
SUBTOTAL		$42,012,000	$0	$42,012,000
County Transportation for Livable Communities (TLC) Program				
Specific projects TBD by CMAs				
County TLC - Alameda - Block Grant TLC Implementation	ACTC	$238,000	$0	$238,000
County TLC - Contra Costa - Block Grant TLC Implementation	CCTA	$83,000	$0	$83,000
County TLC - Marin - Block Grant TLC Implementation	TAM	$40,000	$0	$40,000
County TLC - Napa - Block Grant TLC Implementation	NCTPA	$22,000	$0	$22,000
County TLC - San Francisco - Block Grant TLC Implementation	SFCTA	$125,000	$0	$125,000
County TLC - San Mateo - Block Grant TLC Implementation	SMCCAG	$115,000	$0	$115,000
County TLC - Santa Clara - Block Grant TLC Implementation	SCVTA	$285,000	$0	$285,000
County TLC - Solano - Block Grant TLC Implementation	STA	$67,000	$0	$67,000
County TLC - Sonoma - Block Grant TLC Implementation	SCTA	$47,000	$0	$47,000
BART - MacArthur Station Entry Plaza Renovation	BART	$625,000	$0	$625,000
Fremont - Midtown Catalyst Project	Fremont	$1,600,000	$0	$1,600,000
Livermore - Downtown Livermore Iron Horse Trail	Livermore	$1,566,000	$0	$1,566,000
Livermore - Downtown Livermore Lighting Fixtures Retrofit	Livermore	$176,000	$0	$176,000
Oakland - MacArthur Blvd Streetscape	Oakland	$1,700,000	$0	$1,700,000
El Cerrito - Central Ave & Liberty St Streetscape	El Cerrito	$816,000	$0	$816,000
Lafayette - Downtown Pedestrian, Bicycle & Streetscape	Lafayette	$1,690,000	$0	$1,690,000
Fremont - Midtown Catalyst Project	Richmond	$1,217,000	$0	$1,217,000
Marin County - Various Bicycle/Ped Improvements	Marin County	$970,000	$0	$970,000
American Canyon - PDA Development Plan	American Canyon	$318,000	$0	$318,000
American Canyon - Theresa Avenue Sidewalk Imps. Phase II	American Canyon	$200,000	$0	$200,000
San Francisco - Folsom Streetscape (Complete Streets)	SFDPW	$1,065,000	$0	$1,065,000
SF Market and Haight Street Transit and Pedestrian Imps	San Francisco	$948,000	$0	$948,000
San Francisco - Broadway Streetscape Phase III (Complete Streets)	SFDPW	$1,104,000	$0	$1,104,000
Burlingame - Burlingame Ave. and Broadway Districts Streetscape	Burlingame	$301,000	$0	$301,000
Daly City - Citywide Accessibility Improvements	Daly City	$420,000	$0	$420,000
Millbrae - El Camino Real/Victoria Pedestrian Enhancement	Millbrae	$355,000	$0	$355,000
San Bruno - Transit Corridor Pedestrian Connection Imps.	San Bruno	$263,000	$0	$263,000
San Bruno - Street Medians and Grand Boulevard Imps	San Bruno	$654,000	$0	$654,000
San Mateo - El Camino Real Phase 1 Improvements	San Mateo	$503,000	$0	$503,000
Campbell - Winchester Blvd Streetscape Phase II	Campbell	$1,500,000	$0	$1,500,000
Milpitas - Abel Street Pedestrian Improvements	Milpitas	$788,000	$0	$788,000
VTA - US 101 Capitol Expressway (Exchange) ****	Santa Clara VTA	$1,100,000	$0	$1,100,000
Santa Clara Co. - Almaden Expwy Bicycle Signal Detection (Complete Streets)	Santa Clara Co.	$500,000	$0	$500,000
Saratoga - Saratoga Village Ped Enhancement Phase 2	Saratoga	$1,161,000	$0	$1,161,000
Sunnyvale - Hendy Avenue Improvements (Complete Streets)	Sunnyvale	$523,000	$0	$523,000
Sunnyvale - Downtown Streetscape	Sunnyvale	$594,000	$0	$594,000
Vallejo - Streetscapes Improvements	Vallejo	$1,277,000	$0	$1,277,000
Cotati - Downtown Streetscape	Cotati	$1,100,000	$0	$1,100,000
Cotati Train Depot	Cotati	$200,000	$0	$200,000
SUBTOTAL		$26,256,000	$0	$26,256,000
6. TRANSPORTATION FOR LIVABLE COMMUNITES (TLC)	**TOTAL:**	**$87,273,000**	**$0**	**$87,273,000**

* NOTE: Two thirds of the TLC Program administered by MTC. One third admininstered by County CMAs, as part of the Block Grant Program.

7. LOCAL STREETS AND ROADS (LSR)				
Pavement Technical Advisory Program (PTAP)	MTC	$4,500,000	$0	$4,500,000
Pavement Management Program (PMP)	MTC	$1,500,000	$0	$1,500,000
SUBTOTAL		$6,000,000	$0	$6,000,000
Federal Aid Secondary (FAS) Committment *				
Specific projects TBD by Counties				
Alameda County - Rural Roads Pavement Rehabilitation	Alameda County	$2,135,000	$0	$2,135,000
Contra Costa - Kirker Pass Road Overlay	Contra Costa County	$1,611,000	$0	$1,611,000

Attachment B

MTC Resolution No. 3925, Attachment B
Adopted: 10/28/09-C
Revised: 12/16/09-C
07/28/10-C 09/22/10-C 10/27/10-C
02/23/10-C 03/23/11-C 05/25/11-C
06/22/11-C 09/28/11-C 10/26/11-C
01/25/12-C 02/22/12-C 03/28/12-C
04/25/12-C 06/27/12-C 07/25/12-C
09/26/12-C 02/27/13-C 05/22/13-C
09/25/13-C 12/18/13-C 02/26/14-C
03/26/14-C 04/23/14-C

METROPOLITAN TRANSPORTATION COMMISSION
T4 New Federal Act FIRST CYCLE Programming
STP/CMAQ/TE/RTIP/CMIA Funding **
MTC Resolution 3925
Project List***
Attachment B
April 23, 2014

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other TE/RTIP/CMIA	Total Cycle 1
T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
Marin County - Novato Boulevard Resurfacing	Marin County	$1,006,000	$0	$1,006,000
Napa County - Silverado Trail Pavement Rehabilitation	Napa County	$312,000	$0	$312,000
Napa County - Various Streets Rehabilitation	Napa County	$1,114,000	$0	$1,114,000
San Mateo County - Pescadero Creek Road Resurfacing	San Mateo County	$1,070,000	$0	$1,070,000
Santa Clara County - Various Streets and Roads Pavement Rehabilitation	Santa Clara County	$2,041,000	$0	$2,041,000
Solano County - Pavement Overlay Program	Solano County	$1,807,000	$0	$1,807,000
Sonoma County - Various Streets and Roads Asphalt Overlay	Sonoma County	$3,917,000	$0	$3,917,000
SUBTOTAL		$15,013,000	$0	$15,013,000
Local Streets and Roads (LSR) Rehabililtation **				
Specific projects TBD by CMAs				
LS&R Rehab - Alameda - Block Grant LS&R Implementation	ACTC	$662,000	$0	$662,000
LS&R Rehab - Contra Costa - Block Grant LS&R Implementation	CCTA	$215,000	$0	$215,000
LS&R Rehab - Marin - Block Grant LS&R Implementation	TAM	$97,000	$0	$97,000
LS&R Rehab - Napa - Block Grant LS&R Implementation	NCTPA	$75,000	$0	$75,000
LS&R Rehab - San Francisco - Block Grant LS&R Implementation	SFCTA	$310,000	$0	$310,000
LS&R Rehab - San Mateo - Block Grant LS&R Implementation	SMCCAG	$272,000	$0	$272,000
LS&R Rehab - Santa Clara - Block Grant LS&R Implementation	SCVTA	$689,000	$0	$689,000
LS&R Rehab - Solano - Block Grant LS&R Implementation	STA	$259,000	$0	$259,000
LS&R Rehab - Sonoma - Block Grant LS&R Implementation	SCTA	$229,000	$0	$229,000
Alameda - Otis Drive Reconstruction	Alameda (City)	$837,000	$0	$837,000
Alameda County - Central County Pavement Rehabilitation	Alameda County	$1,121,000	$0	$1,121,000
Albany - Pierce Street Pavement Rehabilitation	Albany	$117,000	$0	$117,000
Berkeley - Sacramento Street Rehabilitation	Berkeley	$955,000	$0	$955,000
Dublin - Citywide Street Resurfacing	Dublin	$547,000	$0	$547,000
Fremont - Various Streets Pavement Rehabilitation	Fremont	$2,706,550	$0	$2,706,550
Fremont - Osgood Road Rehabilitation	Fremont	$431,450	$0	$431,450
Hayward - Various Streets Pavement Rehabilitation	Hayward	$1,336,000	$0	$1,336,000
Livermore - Various Streets Rehabilitation	Livermore	$1,028,000	$0	$1,028,000
Newark - Cedar Blvd and Jarvis Ave Pavement Rehab	Newark	$682,000	$0	$682,000
Oakland - Resurfacing and Bike Lanes (Complete Streets)	Oakland	$3,617,000	$0	$3,617,000
Pleasanton - Various Streets Pavement Rehabilitation	Pleasanton	$876,000	$0	$876,000
San Leandro - Marina Blvd Street Rehabilitation	San Leandro	$807,000	$0	$807,000
Union City - Dyer Street Rehabilitation	Union City	$861,000	$0	$861,000
Antioch - Hillcrest, Putnam and Contra Loma Pavement Rehab	Antioch	$1,907,000	$0	$1,907,000
Brentwood - Various Streets Overlay	Brentwood	$823,000	$0	$823,000
Concord - Concord Blvd Pavement Rehabilitation Sixth-Glazier	Concord	$2,147,000	$0	$2,147,000
Contra Costa - Countywide Arterial Micro Surface Project	Contra Costa County	$2,121,000	$0	$2,121,000
Pittsburg - Railroad Avenue Pavement Rehabilitation	Pittsburg	$848,000	$0	$848,000
Richmond - Dornan Drive/Garrard Blvd Tunnel Rehabilitation	Richmond	$500,000	$0	$500,000
San Ramon - Alcosta Boulevard Pavement Rehabilitation	San Ramon	$825,000	$0	$825,000
Walnut Creek - Various Arterials and Colletors Rehabilitation	Walnut Creek	$1,856,000	$0	$1,856,000
Marin County - Southern Marin Road Rehabilitation	Marin County	$1,196,000	$0	$1,196,000
Mill Valley - Edgewood Avenue Resurfacing	Mill Valley	$123,000	$0	$123,000
San Rafael - Citywide Street Resurfacing	San Rafael	$1,019,000	$0	$1,019,000
Napa - Linda Vista Pavement Overlay	City of Napa	$654,000	$0	$654,000
Napa - Cape Seal Pavement Rehabilitation	City of Napa	$625,000	$0	$625,000
Napa County - Silverado Trail Pavement Rehabilitation	Napa County	$526,000	$0	$526,000
San Francisco - Folsom Streetscape (Complete Streets)	SFDPW	$3,200,000	$0	$3,200,000
San Francisco - Second Street Phase 1 - Sfgo Signal Rehabilitation	SFDPW	$530,000	$0	$530,000
San Francisco - Broadway Streetscape Phase III (Complete Streets)	SFDPW	$350,000	$0	$350,000
San Francisco - Citywide San Francisco Street Improvements	SFDPW	$3,368,000	$0	$3,368,000
Burlingame - Street Resurfacing Program 2010-11	Burlingame	$308,000	$0	$308,000
Daly City - Various Streets Rehabilitation	Daly City	$1,058,000	$0	$1,058,000
Menlo Park - Various Streets Resurfacing	Menlo Park	$385,000	$0	$385,000
Pacifica - Various Streets Pavement Rehabilitation	Pacifica	$383,000	$0	$383,000
Redwood City - Various Streets Overlay	Redwood City	$946,000	$0	$946,000
San Bruno Various Streets Resurfacing	San Bruno	$398,000	$0	$398,000

Attachment B

MTC Resolution No. 3925, Attachment B
Adopted: 10/28/09-C
Revised: 12/16/09-C
07/28/10-C 09/22/10-C 10/27/10-C
02/23/10-C 03/23/11-C 05/25/11-C
06/22/11-C 09/28/11-C 10/26/11-C
01/25/12-C 02/22/12-C 03/28/12-C
04/25/12-C 06/27/12-C 07/25/12-C
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09/25/13-C 12/18/13-C 02/26/14-C
03/26/14-C 04/23/14-C

METROPOLITAN TRANSPORTATION COMMISSION
T4 New Federal Act FIRST CYCLE Programming
STP/CMAQ/TE/RTIP/CMIA Funding **
MTC Resolution 3925
Project List***
Attachment B
April 23, 2014

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other TE/RTIP/CMIA	Total Cycle 1
T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
San Carlos - Various Streets Pavement Rehabilitation	San Carlos	$319,000	$0	$319,000
San Mateo - Various Streets Rehabilitation	San Mateo (City)	$1,255,000	$0	$1,255,000
San Mateo County - Various Roads Resurfacing	San Mateo County	$1,416,000	$0	$1,416,000
South San Francisco - Various Streets Resurfacing	So. San Francisco	$712,000	$0	$712,000
Campbell - Citywide Arterial & Collector Street Rehab	Campbell	$500,000	$0	$500,000
Cupertino - Various Streets Pavement Rehabilitation	Cupertino	$500,000	$0	$500,000
Gilroy - Wren Ave and Church Street Resurfacing	Gilroy	$614,000	$0	$614,000
Los Altos - San Antonio Road Microseal	Los Altos	$259,000	$0	$259,000
Los Gatos - University Avenue Rehabilitation	Los Gatos	$500,000	$0	$500,000
Mountain View - Church Street Improvements	Mountain View	$530,000	$0	$530,000
Palo Alto - Various Streets Pavement Overlay	Palo Alto	$549,000	$0	$549,000
San Jose - Various Streets Rehabilitation	San Jose	$7,987,000	$0	$7,987,000
Santa Clara City - Various Streets Rehabilitation	Santa Clara (City)	$1,163,000	$0	$1,163,000
Santa Clara County Roads Pavement Rehabilitation	Santa Clara County	$1,157,000	$0	$1,157,000
Santa Clara County Expressways Pavement Rehabilitation	Santa Clara County	$530,000	$0	$530,000
Saratoga - Various Streets and Roads Rehabilitation	Saratoga	$500,000	$0	$500,000
Sunnyvale Ave/Old San Francisco Rd Reconstruction and Ped Enhancements	Sunnyvale	$638,000	$0	$638,000
Sunnyvale - Hendy Avenue Improvements (Complete Streets)	Sunnyvale	$1,117,000	$0	$1,117,000
Benicia - Columbus Parkway Overlay	Benicia	$371,000	$0	$371,000
Fairfield - Various Streets Overlay	Fairfield	$1,370,000	$0	$1,370,000
Solano County Pavement Overlay	Solano County	$1,689,000	$0	$1,689,000
Suisun City - Pintail Drive Resurfacing	Suisun City	$437,000	$0	$437,000
Vacaville - Various Streets Overlay	Vacaville	$1,324,000	$0	$1,324,000
Vallejo - Citywide Street Overlay	Vallejo	$1,595,000	$0	$1,595,000
Petaluma - Sonoma Mountain Parkway Rehabilitation	Petaluma	$1,036,000	$0	$1,036,000
Rohnert Park - Arlen Dr and E. Cotati Ave Overlay	Rohnert Park	$563,000	$0	$563,000
Santa Rosa - Various Streets Citywide Overlay	Santa Rosa	$2,072,000	$0	$2,072,000
Sonoma County - Various Roads Pavement Preservation	Sonoma Co. TPW	$4,912,000	$0	$4,912,000
Windsor - Hembree Lane Resurfacing	Windsor	$348,000	$0	$348,000
SUBTOTAL		$80,789,000	$0	$80,789,000
7. LOCAL STREETS AND ROADS (LSR)	**TOTAL:**	**$101,802,000**	**$0**	**$101,802,000**

* NOTE: Section 182.6(d)(2) of the California Streets and Highways Code requires that:
An amount not less than 110 percent of the amount that the county was apportioned under the Federal-Aid Secondary (FAS) program in federal fiscal year 1990-91 be
The FAS amounts in Cycle 1 represent the total annual FAS committments for the entire 6-year period of the new federal act beginning in FY 2009-10. San Francisco does not have any routes designated FAS, and therefore is not entitled to any FAS share.
** NOTE: Local Streets and Roads Rehab administered by County CMAs as part of the Block Grant Program.

8. REGIONAL STRATEGIC INVESTMENTS (RSI)				
Richmond Rail Connector	Caltrans	$6,330,000	$0	$6,330,000
GGBH&TD Preventive Maintenance (for Golden Gate Bridge Suicide Deterent)	GGBH&TD	$5,000,000	$0	$5,000,000
Doyle Drive/Presidio Parkway *****	SFCTA	$34,000,000	$0	$34,000,000
SamTrans Preventive Maintenance (for Caltrain Right-Of-Way Payback)	SamTrans	$15,942,309	$0	$15,942,309
SamTrans Bus Replacement (for Caltrain Right-Of-Way Payback)	SamTrans	$1,085,808	$0	$1,085,808
SamTrans Advanced Communications System Upgrades (for Caltrain Right-Of-Way Payback)	SamTrans	$2,260,796	$0	$2,260,796
SCL I-280 I/C Improvements	VTA	$1,000,000	$31,000,000	$32,000,000
Small/Northbay Operators (Transit Payback Commitment)	Various			
Clipper Phase III Implementation	Various	$2,691,476	$0	$2,691,476
SUBTOTAL		**$68,310,389**	$31,000,000	**$99,310,389**
8. REGIONAL STRATEGIC INVESTMENTS (RSI)	**TOTAL:**	**$68,310,389**	**$31,000,000**	**$99,310,389**
9. LIFELINE TRANSPORTATION PROGRAM (LIFE)				
Transit Payback Commitment: Lifeline Transportation Program				
Community Based Transportation Plan Updates	ACTC	$475,000	$0	$475,000
Cherryland - Hathaway Avenue Transit Access Improvements	Alameda County	$430,000	$0	$430,000
East Bay Bus Rapid Transit Terminus/ San Leandro BART Improvements	AC Transit	$1,225,539	$0	$1,225,539
Baypoint - Canal Road Bike/Ped Improvements	Contra Costa County	$1,000,000	$0	$1,000,000
Richmond Easy Go Low-Income Mobility Access Improvements	Richmond	$203,291	$0	$203,291
Advanced Communications and Information System	GGBHTD	$233,728	$0	$233,728

Attachment B

MTC Resolution No. 3925, Attachment B
Adopted: 10/28/09-C
Revised: 12/16/09-C
07/28/10-C 09/22/10-C 10/27/10-C
02/23/10-C 03/23/11-C 05/25/11-C
06/22/11-C 09/28/11-C 10/26/11-C
01/25/12-C 02/22/12-C 03/28/12-C
04/25/12-C 06/27/12-C 07/25/12-C
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09/25/13-C 12/18/13-C 02/26/14-C
03/26/14-C 04/23/14-C

METROPOLITAN TRANSPORTATION COMMISSION
T4 New Federal Act FIRST CYCLE Programming
STP/CMAQ/TE/RTIP/CMIA Funding **
MTC Resolution 3925
Project List***
Attachment B
April 23, 2014

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other TE/RTIP/CMIA	Total Cycle 1
T4 FIRST CYCLE PROGRAMMING		**$559,408,976**	**$81,882,000**	**$641,290,976**
Community Based Transportation Plan Updates	NCTPA	$80,000	$0	$80,000
ADA Bus Stop Upgrades	NCTPA	$116,794	$0	$116,794
Eddy and Ellis Traffic Calming	SFMTA	$1,175,105	$0	$1,175,105
Redwood City - Middlefield/Woodside Rd (SR 84) Intersection Improvements	Redwood City	$339,924	$0	$339,924
City of San Mateo - North Central Ped Infrastructure Improvements	San Mateo (City)	$339,924	$0	$339,924
East San Jose Pedestrian Improvements	Santa Clara County	$2,127,977	$0	$2,127,977
Fairfield-Suisun - Local Bus Replacement	Fairfield-Suisun Transit	$481,368	$0	$481,368
Vacaville - Accessible Paths to Transit	Vacavile	$40,000	$0	$40,000
Healdsburg Pedestrian Safety & Access Improvements	Healdsburg	$202,937	$0	$202,937
Central Sonoma Valley Trail	Sonoma County	$500,000	$0	$500,000
SUBTOTAL		$8,971,587	$0	$8,971,587
9. LIFELINE TRANSPORTATION PROGRAM (LIFE)	**TOTAL:**	**$8,971,587**	**$0**	**$8,971,587**
First Cycle Total		**$559,408,976**	**$81,882,000**	**$641,290,976**

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** NOTE: Attachment A, T-4 First-Cycle Project Selection Criteria and Programming Policies, govern this project list. All funding changes to a program or project are subject to Commission approval.
The project phase, fiscal year and fund source will be determined at the time of programming in the TIP. MTC Staff will update the project listing (Attachment B) to reflect MTC actions as projects are included or revised in the TIP.

*** NOTE: All funds are subject to applicable regional, state and federal requirements and deadlines. Funds that miss established deadlines are considered lapsed and are no longer available for the project.

**** NOTE: Santa Clara VTA agrees to provide an equal amount of local/STIP funds for a TLC project by Fall 2014. If VTA has not programmed an equal amount, MTC will recommend programming of Santa Clara's RTIP share.

***** NOTE: Doyle Drive/Presidio Parkway - Contingent upon $34 million in future San Francisco RTIP funds being prioritized for regional FPI/Express Lanes after Planning, Programming and Monitoring (PPM) the remaining $88 million commitment to the Central Subway project.

APPENDIX A – 27

Specific Funding Programs

Project Selection Criteria, policies and programming for the Surface Transportation Authorization Act, following the Safe, Accountable, Flexible and Efficient Transportation Equity Act (SAFETEA), and any extensions of SAFETEA in the interim, for the Cycle 2, Surface Transportation Program (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) Program.

MTC Resolution No. 4035

Date: May 17, 2012
W.I.: 1512
Referred by: Planning
Revised: 10/24/12-C 11/28/12-C
12/19/12-C 01/23/13-C
02/27/13-C 05/22/13-C
09/25/13-C 11/20/13-C
12/18/13-C 01/22/14-C
02/26/14-C 03/26/14-C
04/23/14-C

ABSTRACT

Resolution No. 4035, Revised

This resolution adopts the Project Selection Policies and Programming for federal Surface Transportation Authorization Act following the Safe, Accountable, Flexible and Efficient Transportation Equity Act (SAFETEA), and any extensions of SAFETEA in the interim. The Project Selection Policies contain the project categories that are to be funded with various fund sources including federal surface transportation act funding available to MTC for its programming discretion to be included in the federal Transportation Improvement Program (TIP).

The resolution includes the following attachments:

Attachment A – Project Selection Policies
Attachment B-1 – Regional Program Project List
Attachment B-2 – OneBayArea Grant (OBAG) Project List

Attachment A (page 13) was revised on October 24, 2012 to update the PDA Investment & Growth Strategy (Appendix A-6) and to update county OBAG fund distributions using the most current RHNA data (Appendix A-1 and Appendix A-4). The Commission also directed $20 million of the $40 million in the regional PDA Implementation program to eight CMAs and the San Francisco Planning Department for local PDA planning implementation. Attachment B-1 and B-2 were revised to add new projects selected by the Solano Transportation Authority and Santa Clara Valley Transportation Authority and to add projects under the Freeway Performance Initiative and to reflect the redirection of the $20 million in PDA planning implementation funds.

Attachment A (pages 8, 9 and 13) was revised on November 28, 2012 to confirm and clarify the actions on October 24, 2012 with respect to the County PDA Planning Program.

Attachment A (page 12) was revised on December 19, 2012 to provide an extension for the Complete Streets policy requirement. Attachments B-1 and B-2 were revised to add new projects selected by the Solano Transportation Authority, Sonoma County Transportation Authority and Santa Clara Valley Transportation Authority; add funding for CMA Planning activities; and to shift funding between two San Francisco Municipal Transportation Agency projects under the Transit Performance Initiatives Program.

Attachments B-1 and B-2 were revised on January 23, 2013 to add new projects selected by various Congestion Management Agencies and to add new projects selected by the Commission in the Transit Rehabilitation Program.

As referred by the Programming and Allocations Committee, Attachment B-1 and Appendix A-2 were revised on February 27, 2013 to add Regional Safe Routes to School programs for Alameda and San Mateo counties, and to reflect previous Commission actions pertaining to the Transit Capital Rehabilitation Program, and to reflect earlier Commission approvals of fund augmentations to the county congestion management agencies for regional planning activities. As referred by the Planning Committee, Attachments A and B-1 were revised to reflect Commission approval of the regional Priority Development Area (PDA) Planning and Implementation program and Priority Conservation Area (PCA) program.

As referred by the Programming and Allocations Committee, Attachments B-1 and B-2 and Appendix A-2 to Attachment A were revised on May 22, 2013 to shift funding between components of the Freeway Performance Initiative Program with no change in total funding; and split the FSP/Incident Management project into the Incident Management Program and FSP/Callbox Program with no change in total funding; and redirect funding from ACE fare collection equipment to ACE positive train control; and add new OBAG projects selected by the Contra Costa Transportation Authority, Napa County Transportation and Planning Agency, City/County Association of Governments of San Mateo (CCAG), and the Solano Transportation Authority, including OBAG augmentation for CCAG Planning activities.

Attachments B-1 and B-2 were revised on September 25, 2013 to add new projects selected by various Congestion Management Agencies in the OneBayArea Grant, Regional Safe Routes to School, and Priority Conservation Area Programs.

Attachment A, Attachments B-1 and B-2 and Appendix A-2 to Attachment A were revised on November 20, 2013 to add new projects and make grant amount changes as directed by various Congestion Management Agencies in the OneBayArea Grant Program. Also the deadline for jurisdictions' adoption of general plans meeting the latest RHNA was updated to reflect the later than scheduled adoption of Plan Bay Area.

Attachment B-1 to the resolution was revised on December 18, 2013 to add an FPI project for environmental studies for the I-280/Winchester I/C modification.

Attachment B-2 was revised on January 22, 2014 to adjust project grant amounts as directed by various Congestion Management Agencies in the OneBayArea Grant Program, including changes as a result of the 2014 RTIP.

Attachments B-1 and B-2 were revised on February 26, 2014 to add six OBAG projects selected by the CMA's, make adjustments between two Santa Clara OBAG projects, and add three PDA Planning Program projects in Sonoma County.

Attachment B-1 was revised on March 26, 2014 to add 15 projects to the Transit Performance Initiative Program and 3 projects in Marin County to the North Bay Priority Conservation Area Program.

On April 23, 2014, Attachment B-1 was revised to add 13 projects to the Priority Conservation Grant Program, revise the grant amount for the BART Car Exchange Preventative Maintenance Project in the Transit Capital Rehabilitation Program, and add three projects to the Climate Initiatives Program totaling $14,000,000.

Further discussion of the Project Selection Criteria and Programming Policies is contained in the memorandum to the Joint Planning Committee dated May 11, 2012; to the Programming and Allocations Committee dated October 10, 2012; to the Commission dated November 28, 2012; to the Programming and Allocations Committee dated December 12, 2012 and January 9, 2013; to the Joint Planning Committee dated February 8, 2013; and to the Programming and Allocations Committee dated February 13, 2013, May 8, 2013, September11, 2013, November 13, 2013, December 11, 2013, January 8, 2014, February 12, 2014, March 5, 2014, and April 9, 2014.

Date: May 17, 2012
W.I.: 1512
Referred By: Planning

RE: Federal Cycle 2 Program covering FY 2012-13, FY 2013-14, FY 2014-15 and FY 2015-16: Project Selection Policies and Programming

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4035

WHEREAS, the Metropolitan Transportation Commission (MTC) is the Regional Transportation Planning Agency (RTPA) for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area region and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes federal funds; and

WHEREAS, MTC is the designated recipient for federal funding administered by the Federal Highway Administration (FHWA) assigned to the MPO/RTPA of the San Francisco Bay Area for the programming of projects (regional federal funds); and

WHEREAS, the federal funds assigned to the MPOs/RTPAs for their discretion are subject to availability and must be used within prescribed funding deadlines regardless of project readiness; and

WHEREAS, MTC, in cooperation with the Association of Bay Area Governments, (ABAG), the Bay Area Air Quality Management District (BAAQMD), the Bay Conservation and Development Commission (BCDC), California Department of Transportation (Caltrans), Congestion Management Agencies (CMAs), transit operators, counties, cities, and interested stakeholders, has developed criteria, policies and procedures to be used in the selection of projects to be funded with various funding including regional federal funds as set forth in Attachments A, B-1 and B-2 of this Resolution, incorporated herein as though set forth at length; and

WHEREAS, using the policies set forth in Attachment A of this Resolution, MTC, in cooperation with the Bay Area Partnership and interested stakeholders, has or will develop a program of projects to be funded with these funds for inclusion in the federal Transportation Improvement Program (TIP), as set forth in Attachments B-1 and B-2 of this Resolution, incorporated herein as though set forth at length; and

WHEREAS the federal TIP and subsequent TIP amendments and updates are subject to public review and comment; now therefore be it

RESOLVED that MTC approves the "Project Selection Policies and Programming" for projects to be funded with Cycle 2 Program funds as set forth in Attachments A, B-1 and B-2 of this Resolution; and be it further

RESOLVED that the federal funding shall be pooled and redistributed on a regional basis for implementation of Project Selection Criteria, Policies, Procedures and Programming, consistent with the Regional Transportation Plan (RTP); and be it further

RESOLVED that the projects will be included in the federal TIP subject to final federal approval; and be it further

RESOLVED that the Executive Director or his designee can make technical adjustments and other non-substantial revisions, including updates to fund distributions to reflect final 2014-2022 FHWA figures; and be it further

RESOLVED that the Executive Director or designee is authorized to revise Attachments B-1 and B-2 as necessary to reflect the programming of projects as the projects are selected and included in the federal TIP; and be it further

RESOLVED that the Executive Director shall make available a copy of this resolution, and such other information as may be required, to the Governor, Caltrans, and to other such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on May 17, 2012

Date: May 17, 2012
W.I.: 1512
Referred by: Planning
Revised: 10/24/12-C 11/28/12-C
12/19/12-C 02/27/13-C
11/20/13-C

Attachment A
Resolution No. 4035

Cycle 2 Program
Project Selection Criteria and Programming Policy

For
FY 2012-13, FY 2013-14, FY 2014-15 and FY 2015-16

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Cycle 2 Program
Policy and Programming

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BACKGROUND

Anticipating the end of the federal Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA) on September 30, 2009, MTC approved Cycle 1 commitments (Resolution 3925) along with an overall framework to guide upcoming programming decisions for Cycle 2 to address the new six-year surface transportation authorization act funding. However, the successor to SAFETEA has not yet been enacted, and SAFETEA has been extended through continuing resolutions. Without the new federal surface transportation act, MTC may program funds forward based on reasonable estimates of revenues. It is estimated that roughly $795 million is available for programming over the upcoming four-year Cycle 2 period.

Cycle 2 covers the four years from FY 2012-13 to FY 2015-2016 pending the enactment of the new authorization and/or continuation of SAFETEA.

This attachment outlines how the region will use Cycle 2 funds for transportation needs in the MTC region. Funding decisions continue to implement the strategies and objectives of the Regional Transportation Plan (RTP), Transportation 2035, which is the Bay Area's comprehensive roadmap to guide transportation investments in surface transportation including mass transit, highway, local road, bicycle and pedestrian projects over the long term. The program investments recommended for funding in Cycle 2 are an outgrowth of the transportation needs identified by the RTP and also take into consideration the preferred transportation investment strategy of the Sustainable Communities Strategy (SCS).

Appendix A-1 provides an overview of the Cycle 2 Program commitments which contain a regional program component managed by MTC and a county program component to be managed by the counties.

CYCLE 2 REVENUE ESTIMATES AND FEDERAL PROGRAM ARCHITECTURE

MTC receives federal funding for local programming from the State for local programming in the MTC region. Among the various transportation programs established by SAFETEA, this includes regional Surface Transportation Program (STP) Congestion Mitigation and Air Quality Improvement (CMAQ) Program and to a lesser extent, Regional Transportation Improvement Program (RTIP) and Transportation Enhancement (TE) funds. The STP/CMAQ/RTIP/TE programming capacity in Cycle 2 amounts to $795 million. The Commission programs the STP/CMAQ funds while the California Transportation Commission programs the RTIP and TE Funds. Furthermore, the Bay Area Air Quality Management District (BAAQMD) is contributing Transportation Fund for Clean Air (TFCA) funding to Cycle 2. Below are issues to be addressed as the region implements Cycle 2 programming, particularly in light that approval of Cycle 2 will precede approval of the new federal transportation act.

Revenues: A revenue growth rate of 3% over prior federal apportionments is assumed for the first year – FY 2012-13. Due to continued uncertainties with federal funding, the estimated revenues for the later years of the program, FY 2013-14 through FY 2015-16, have not been escalated, but held steady at the estimated FY 2012-13 apportionment amount. If there are significant reductions in federal apportionments over the Cycle 2 time period, as in the past, MTC will reconcile the revenue levels following enactment of the New Act by making adjustments later if needed, by postponement of projects or adjustments to subsequent programming cycles.

Fund Sources: Development of the new federal surface transportation authorization will need to be closely monitored. New federal programs, their eligibility rules, and how funding is distributed to the states and regions could potentially impact the implementation of the Cycle 2 Regional and One Bay Area Grant (OBAG) Programs. It is anticipated that any changes to the federal programs would likely overlap to a large extent with projects that are currently eligible for funding under Title 23 of the United States Code, though the actual fund sources will likely no longer be referred as STP/CMAQ/TE in the manner we have grown accustomed. Therefore, reference to specific fund sources in the Cycle 2 programming is a proxy for replacement fund sources for which MTC has programming authority.

NEW FUNDING APPROACH FOR CYCLE 2—THE ONEBAYAREA GRANT

For Cycle 2, the OneBayArea Grant (OBAG) is a new funding approach that better integrates the region's federal transportation program with California's climate law (Senate Bill 375, Steinberg, 2008) and the Sustainable Communities Strategy. Funding distribution to the counties will encourage land-use and housing policies that support the production of housing with supportive transportation investments. This is accomplished through the following policies:

- Using transportation dollars to reward jurisdictions that accept housing allocations through the Regional Housing Need Allocation (RHNA) process and produce housing.
- Supporting the Sustainable Communities Strategy for the Bay Area by promoting transportation investments in Priority Development Areas (PDAs) and by initiating a pilot program in the North Bay counties that will support open space preservation in Priority Conservation Areas (PCA).
- Providing a higher proportion of funding to local agencies and additional investment flexibility by eliminating required program targets. A significant amount of funding that was used for regional programs in Cycle 1 is shifted to local programs (the OneBayArea Grant). The OBAG program allows investments in transportation categories such as Transportation for Livable Communities, bicycle and pedestrian improvements, local streets and roads preservation, and planning and outreach activities, while also providing targeted funding opportunities for Safe Routes to School (SR2S) and Priority Conservation Areas.

Project List

Attachment B of Resolution 4035 contains the list of projects to be programmed under the Cycle 2 Program. Attachments B-1 and B-2 are listings of projects receiving Cycle 2 funding, and reflects the programs and projects included in the regional and OBAG programs respectively. The listing is subject to project selection actions (conducted by MTC for most of the regional programs and by the CMAs for funds distributed to them). MTC staff will update Attachments B-1 and B-2 as projects are selected by the Commission and CMAs and are included in the federal TIP.

OneBayArea Grant Fund Distribution Formula

The formula used to distribute OneBayArea Grant funding to the counties takes into consideration the following factors: population, past housing production, future housing commitments as determined by the Association of Bay Area Governments (ABAG) Regional Housing Needs

Assessment (RHNA) and added weighting to acknowledge very low and low income housing. The formula breakdown is as follows with distributions derived from each jurisdiction's proportionate share of the regional total for each factor:

OBAG Fund Distribution Factors

Factor Weighting	Percentage
Population	50%
RHNA* (total housing units)	12.5%
RHNA (low/very low income housing units)	12.5%
Housing Production** (total housing units)	12.5%
Housing Production (low/very low income housing units)	12.5%

* RHNA 2014-2022
**Housing Production Report 1999-2006

The objective of this formula is to provide housing incentives to complement the region's Sustainable Community Strategy (SCS) which together with a Priority Development Area (PDA) focused investment strategy will lead to transportation investments that support focused development. The proposed One Bay Area Grant formula also uses actual housing production data from 1999-2006, which has been capped such that each jurisdiction receives credit for housing up to its RHNA allocation. Subsequent funding cycles will be based on housing production from ABAG's next housing report to be published in 2013. The formula also recognizes jurisdictions' RHNA and past housing production (uncapped) contributions to very low and low income housing units. The resulting OBAG fund distribution for each county is presented in Appendix A-4. Funding guarantees are also incorporated in the fund distribution to ensure that all counties receive as much funding under the new funding model as compared to what they would have received under the Cycle 1 framework.

The Commission, working with ABAG, will revisit the funding distribution formula for the next cycle (post FY2015-16) to further evaluate how to best incentivize housing production across all income levels and other Plan Bay Area performance objectives.

Cycle 2 General Programming Policies

The following programming policies apply to all projects funded in Cycle 2:

1. **Public Involvement.** MTC is committed to a public involvement process that is proactive and provides comprehensive information, timely public notice, full public access to key decisions, and opportunities for continuing involvement. MTC provides many methods to fulfill this commitment, as outlined in the *MTC Public Participation Plan*, Resolution No. 3821. The Commission's adoption of the Cycle 2 program, including policy and procedures meet the provisions of the MTC *Public Participation Plan*. MTC's advisory committees and the Bay

Area Partnership have been consulted in the development of funding commitments and policies for this program; and opportunities to comment have been provided to other stakeholders and members of the public.

Furthermore, investments made in the Cycle 2 program must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. Additionally, when CMAs select projects for funding at the county level, they must consider equitable solicitation and selection of project candidates in accordance with federal Title VI requirements (as set forth in Appendix A-5).

2. **Commission Approval of Programs and Projects and the Transportation Improvement Program (TIP).** Projects approved as part of the Cycle 2 Program must be amended into the federal TIP. The federally required TIP is a comprehensive listing of all San Francisco Bay Area surface transportation projects that receive federal funds, and/or are subject to a federally required action, such as federal environmental clearance, and/or are regionally significant for air quality conformity or modeling purposes. It is the project sponsor's responsibility to ensure their project is properly programmed in the TIP in a timely manner. Where CMAs are responsible for project selection the Commission will revise the TIP to include the resulting projects and Attachment B to this Resolution may be amended by MTC staff to reflect these revisions. Where responsibility for project selection in the framework of a Cycle 2 funding program is assigned to MTC, TIP amendments and a revision to Attachment B will be reviewed and approved by the Commission.

3. **Minimum Grant Size.** The objective of a grant minimum requirement is to maximize the efficient use of federal funds and minimize the number of federal-aid projects which place administrative burdens on project sponsors, CMAs, MTC, Caltrans, and Federal Highway Administration (FHWA) staff. Funding grants per project must therefore be a minimum of $500,000 for counties with a population over 1 million (Alameda, Contra Costa, and Santa Clara counties) and $250,000 for counties with a population under one million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma counties).

   To provide flexibility, alternatively an averaging approach may be used. A CMA may program grant amounts no less than $100,000 for any project, provided that the overall average of all grant amounts within their OBAG program meets the county minimum grant amount threshold.

   Given the typical smaller scale of projects for the Safe Routes to School (SRTS) program, a lower threshold applies to the regional Safe Routes to School Program projects which have a minimum grant size of $100,000.

4. **Air Quality Conformity.** In the Bay Area, it is the responsibility of MTC to make an air quality conformity determination for the TIP in accordance with federal Clean Air Act requirements and Environmental Protection Agency (EPA) conformity regulations. MTC evaluates the impact of the TIP on regional air quality during the biennial update of the TIP. Since the 2011 air quality conformity finding has been completed for the 2011 TIP, no non-exempt projects that were not incorporated in the finding will be considered for funding in the Cycle 2 Program until

the development of the 2013 TIP during spring 2013. Additionally, the U.S. Environmental Protection Agency has designated the Bay Area as a non-attainment area for PM 2.5. Therefore, based on consultation with the MTC Air Quality Conformity Task Force, projects deemed "Projects of Air Quality Concern" must complete a hot-spot analysis required by the Transportation Conformity Rule. Generally Projects of Air Quality Concern (POAQC) are those projects that result in significant increases in the number of or emissions from diesel vehicles.

5. **Environmental Clearance.** Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.), and the National Environmental Protection Act (42 USC Section 4-1 et seq.) standards and procedures for all projects with federal funds.

6. **Application, Resolution of Local Support**. Project sponsors must submit a completed project application for each project proposed for funding through MTC's Funding Management System (FMS). The project application consists of two parts: 1) an application submittal and/or TIP revision request to MTC staff, and 2) Resolution of Local Support approved by the project sponsor's governing board or council. A template for the resolution of local support can be downloaded from the MTC website using the following link: http://www.mtc.ca.gov/funding/STPCMAQ/STP_CMAQ_LocalSupportReso.doc

7. **Project Screening and Compliance with Regional and Federal Requirements.** MTC staff will perform a review of projects proposed for the Cycle 2 Program to ensure 1) eligibility; 2) consistency with the RTP; and 3) project readiness. In addition, project sponsors must adhere to directives such as "Complete Streets" (MTC Routine Accommodations for Bicyclists and Pedestrians); and the Regional Project Funding Delivery Policy as outlined below; and provide the required matching funds. Project sponsors should note that fund source programs, eligibility criteria, and regulations may change as a result of the passage of new surface transportation authorization legislation. In this situation, MTC staff will work to realign new fund sources with the funding commitments approved by the Commission.

   - Federal Project Eligibility: STP has a wide range of projects that are eligible for consideration in the TIP. Eligible projects include, federal-aid highway and bridge improvements (construction, reconstruction, rehabilitation, resurfacing, restoration, and operational), mitigation related to an STP project, public transit capital improvements, pedestrian, and bicycle facilities, and transportation system management, transportation demand management, transportation control measures, surface transportation planning activities, and safety. More detailed eligibility requirements can be found in Section 133 of Title 23 of the United States Code.

     CMAQ funding applies to new or expanded transportation projects, programs, and operations that help reduce emissions. Eligible project categories that meet this basic criteria include: Transportation activities in approved State Implementation Plan (SIP), Transportation Control Measures (TCMs), alternative fuels, traffic flow improvements, transit expansion projects, bicycle and pedestrian facilities and programs, travel demand management, outreach and rideshare activities, telecommuting programs, intermodal freight, planning and project development activities, Inspection and maintenance

programs, magnetic levitation transportation technology deployment program, and experimental pilot projects. For more detailed guidance see the *CMAQ Program Guidance* (FHWA, November 2008).

In the event that the next surface transportation authorization materially alters these programs, MTC staff will work with project sponsors to match projects with appropriate federal fund programs. MTC reserves the right to assign specific fund sources based on availability and eligibility requirements.

▶ RTP Consistency: Projects included in the Cycle 2 Program must be consistent with the adopted Regional Transportation Plan (RTP), according to federal planning regulations. Each project included in the Cycle 2 Program must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number or reference.

▶ Complete Streets (MTC Routine Accommodations of Pedestrians and Bicyclists) Policy): Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. MTC's Complete Streets policy (Resolution No. 3765) created a checklist that is intended for use on projects to ensure that the accommodation of non-motorized travelers are considered at the earliest conception or design phase. The county Congestion Management Agencies (CMAs) ensure that project sponsors complete the checklist before projects are considered by the county for funds and submitted to MTC. CMAs are required to make completed checklists available to their Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to CMAs' project selection actions for Cycle 2.

Other state policies include, Caltrans Complete Streets Policy Deputy Directive 64 R1 which stipulates: pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products and SB 1358 California Complete Streets Act, which requires local agency general plan circulation elements to address all travel modes.

▶ Project Delivery and Monitoring. Cycle 2 funding is available in the following four federal fiscal years: FY 2012-13, 2013-14, 2014-15, and FY 2015-16. Funds may be programmed in any one of these years, conditioned upon the availability of federal apportionment and obligation authority (OA). This will be determined through the development of an annual obligation plan, which is developed in coordination with the Partnership and project sponsors. However, funds MUST be obligated in the fiscal year programmed in the TIP, with all Cycle 2 funds to be obligated no later than March 31, 2016. Specifically, the funds must be obligated by FHWA or transferred to Federal Transit Administration (FTA) within the federal fiscal year that the funds are programmed in the TIP.

All Cycle 2 funding is subject to the Regional Project Funding Delivery Policy and any subsequent revisions (MTC Resolution No. 3606 at http://www.mtc.ca.gov/funding/delivery/MTC_Res_3606.pdf) . Obligation deadlines, project substitutions and redirection of project savings will continue to be governed by

the MTC Regional Project Funding Delivery Policy. All funds are subject to obligation, award, invoicing, reimbursement and project close out requirements. The failure to meet these deadlines may result in the de-programming and redirection to other projects.

To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations and deadlines, every recipient of Cycle 2 funding will need to identify a staff position that serves as the single point of contact for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out. The agency is required to identify the contact information for this position at the time of programming of funds in the federal TIP. This person will be expected to work closely with FHWA, Caltrans, MTC and the respective CMA on all issues related to federal funding for all FHWA-funded projects implemented by the recipient.

Project sponsors that continue to miss delivery milestones and funding deadlines for any federal funds are required to prepare and update a delivery status report on all projects with FHWA-administered funds they manage, and participate if requested in a consultation meeting with the county CMA, MTC and Caltrans prior to MTC approving future Cycle programming or including any funding revisions for the agency in the federal TIP. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery timeline that takes into consideration the requirements and lead-time of the federal-aid process within available resources.

By applying for and accepting Cycle 2 funding, the project sponsor is acknowledging that it has and will maintain the expertise and staff resources necessary to deliver the federal-aid project within the funding timeframe.

- Local Match. Projects funded with STP or CMAQ funding requires a non-federal local match. Based on California's share of the nation's federal lands, the local match for STP and CMAQ is currently 11.47% of the total project cost. The FHWA will reimburse up to 88.53% of the total project cost. Project sponsors are required to provide the required match, which is subject to change.

- Fixed Program and Specific Project Selection. Projects are chosen for the program based on eligibility, project merit, and deliverability within established deadlines. The Cycle 2 program is project specific and the funds programmed to projects are for those projects alone. The Cycle 2 Program funding is fixed at the programmed amount; therefore, any cost increase may not be covered by additional Cycle 2 funds. Project sponsors are responsible for securing the necessary match, and for cost increases or additional funding needed to complete the project including contingencies.

REGIONAL PROGRAMS

The programs below comprise the Regional Program of Cycle 2, administered by the Commission. Funding amounts for each program are included in Attachment A-1. Individual projects will be added to Attachment B as they are selected and included in the federal TIP.

1. Regional Planning Activities

This program provides funding to the Association of Bay Area Governments (ABAG), the San Francisco Bay Area Conservation and Development Commission (BCDC), and MTC to support regional planning activities. (Note that in the past this funding category included planning funding for the CMAs. Starting with Cycle 2, CMAs will access their OneBayArea Grant to fund their planning activities rather than from this regional program category). Appendix A-2 details the fund distribution.

2. Regional Operations

This program includes projects which are administered at the regional level by MTC, and includes funding to continue regional operations programs for Clipper®, 511 Traveler information (including 511 Rideshare, 511 Bicycle, 511 Traffic, 511 Real-Time Transit and 511 transit), Freeway Service Patrol / SAFE and Incident Management. Information on these programs is available at http://www.mtc.ca.gov/services/.

3. Freeway Performance Initiative

This program builds on the proven success of recent ramp metering projects that have achieved significant delay reduction on Bay Area freeways and arterials at a fraction of the cost of traditional highway widening projects. Several corridors are proposed for metering projects, targeting high congestion corridors. These projects also include Traffic Operations System elements to better manage the system as well as implementing the express lane network. This category also includes funding for performance monitoring activities, regional performance initiatives implementation, Regional Signal Timing Program, Program for Arterial System Synchronization (PASS), freeway and arterial performance initiative projects and express lanes.

4. Pavement Management Program

This continues the region's Pavement Management Program (PMP) and related activities including the Pavement Technical Assistance Program (PTAP). MTC provides grants to local jurisdictions to perform regular inspections of their local streets and roads networks and to update their pavement management systems which is a requirement to receive certain funding. MTC also assists local jurisdictions in conducting associated data collection and analysis efforts including local roads needs assessments and inventory surveys and asset management analysis that feed into regional planning efforts. MTC provides, training, research and development of pavement and non-pavement preservation management techniques, and participates in the state-wide local streets and roads needs assessment effort.

5. Priority Development Area (PDA) Implementation

Funding in this program implements the following:

Regional PDA Implementation:

ABAG Funding: Funds directed to ABAG for implementation of PDAs.

Affordable TOD fund: This is a continuation of MTC's successful Transit Oriented Affordable Housing (TOAH) fund into Cycle 2 which successfully has leveraged a significant amount of outside funding. The TOD fund provides financing for the development of affordable housing and other vital community services near transit lines throughout the Bay Area. Through the Fund, developers can access flexible, affordable capital to purchase or improve available property near transit lines for the development of affordable housing, retail space and other critical services, such as child care centers, fresh food outlets and health clinics. Similar to the initial investment in the TOAH Fund, the following are program conditions: 1) MTC is able to exchange the $10 million in federal transportation funds for local funds because they cannot be used directly for housing investment; 2) Foundation or other sources of funding would be matched by MTC funds on a minimum 3:1 basis to reach a minimum fund of $40 million, and 3) the TOAH fund would be spent only in PDAs on projects that have the greatest potential to deliver affordable housing units with direct access to transit.

PDA Planning Grants: MTC and ABAG's PDA Planning Grant Program will place an emphasis on affordable housing production and preservation in funding agreements with grantees. Grants will be made to jurisdictions to provide support in planning for PDAs in areas such as providing housing, jobs, intensified land use, promoting alternative modes of travel to the single occupancy vehicle, and parking management. These studies will place a special focus on selected PDAs with a greater potential for residential displacement and develop and implement community risk reduction plans. Grants will be made to local jurisdictions to provide planning support as needed to meet regional housing goals. Also program funds will establish a new local planning assistance program to provide staff resources directly to jurisdictions to support local land-use planning for PDAs. The Regional PDA Planning/Implementation component will complement county PDA Planning efforts, but will target investments in jurisdictions taking on the majority of Plan Bay Area housing and job growth. Funds would be used to support planning grants and technical assistance.

MTC will commence work with state and federal government to create private sector economic incentives to increase housing production.

Local Planning & Implementation: Funds are made available to support local jurisdictions in their planning and implementation of PDAs in each of the nine counties, developed through the county PDA Investment & Growth Strategy in consultation with ABAG and MTC. Funding is distributed to the county CMAs (with funds for San Francisco distributed to the City/County of San Francisco planning department) using the OBAG distribution formula with no county receiving less than $750,000 as shown in Appendix 5. Local jurisdictions will either directly access these funds through Caltrans Local Assistance similar to other OBAG grants provided to them by the CMAs, the CMAs may choose to provide individual grants to local jurisdictions through a single program administered by the CMA, or the CMA may request that ABAG administer the grants in cooperation with the local jurisdictions. CMA grants to local jurisdictions and the expenditure of funds by the San Francisco Planning Department are to be aligned with the recommendations and priorities identified in their adopted PDA Growth and Investment Strategy; as well as to the PDA Planning Program guidelines as they apply only to those activities relevant to those guidelines. The CMAs are limited to using no more than 5% of the funds for program administration.

6. Climate Change Initiatives

The proposed funding for the Cycle 2 Climate Initiative Program is to support the implementation of strategies identified in Plan Bay Area to achieve the required CO2 emissions reductions per SB375 and federal criteria pollutant reductions. Staff will work with the Bay Area Air Quality Management District to implement this program.

7. Safe Routes to Schools

Within the Safe Routes to School Program (SR2S program) funding is distributed among the nine Bay Area counties based on K-12 total enrollment for private and public schools as reported by the California Department of Education for FY 2010-11. Appendix A-3 details the county fund distribution. Before programming projects into the TIP the CMAs shall provide the SR2S recommended county program scope, budget, schedule, agency roles, and federal funding recipient. CMAs may choose to augment this program with their own Cycle 2 OBAG funding.

8. Transit Capital Rehabilitation

The program objective is to assist transit operators to fund major fleet replacements, fixed guideway rehabilitation and other high-scoring capital needs, and implement elements of the Transit Sustainability Project, consistent with the FTA Transit Capital Priorities program (MTC Resolution 4072 or successor resolution). This includes a set-aside of $1 million to support the consolidation and transition of Vallejo and Benicia bus services to SolTrans.

9. Transit Performance Initiative: This new pilot program implements transit supportive investments in major transit corridors that can be carried out within two years. The focus is on making cost-effective operational improvements on significant trunk lines which carry the largest number of passengers in the Bay Area including transit signal prioritization, passenger circulation improvements at major hubs, and boarding/stop improvements. Specific projects are included in Attachment B.

10. Priority Conservation Area (PCA) Program: This is a new pilot program for the development of Priority Conservation Area (PCA) plans and projects to assist counties to ameliorate outward development expansion and maintain their rural character. The PCA funding program includes one approach for the North Bay program (Marin, Napa, Solano, and Sonoma) and a second for the remaining five counties. In the North Bay, each CMA will take the lead to develop its own program building on PCA planning conducted to date and select projects for funding. For the remaining counties, MTC and ABAG will partner with the Coastal Conservancy, a California State agency, to program the PCA funds. MTC will provide $5 million to the Coastal Conservancy to manage the call for projects in coordination with the Coastal Conservancy's own program funds in order to support a broader range of projects (i.e. land acquisition and easement projects) than can be accommodated with federal transportation dollars alone and achieve the 3:1 minimum match as required by OBAG. MTC and ABAG staff will support the administration of the program. Appendix A-8 outlines the framework for this program including goals, project screening eligibility, eligible sponsors, and project selection.

ONEBAYAREA GRANT PROGRAMMING POLICIES

The policies below apply to the OneBayArea Grant Program, administered by the county Congestion Management Agencies (CMAs) or substitute agency:

- Program Eligibility: The congestion management agency may program funds from its One Bay Area Grant fund distribution to projects that meet the eligibility requirements for any of the following transportation improvement types:
  - Local Streets and Roads Preservation
  - Bicycle and Pedestrian Improvements
  - Transportation for Livable Communities
  - Safe Routes To School/Transit
  - Priority Conservation Area
  - Planning and Outreach Activities

- Fund Source Distribution: OBAG is funded primarily from three federal fund sources: STP, CMAQ and TE. Although the new federal surface transportation authorization act now under consideration may alter the actual fund sources available for MTC's programming discretion it is anticipated that any new federal programs would overlap to a large extent with existing programs. The CMAs will be provided a breakdown of specific OBAG fund sources, with the understanding that actual fund sources may change as a result of the new federal surface transportation act. In this situation, MTC staff will work with the CMAs to realign new fund sources with the funding commitments approved by the Commission. Furthermore, due to strict funding availability and eligibility requirements, the CMAs must adhere to the fund source limitations provided. Exceptions may be granted by MTC staff based on actual fund sources available and final apportionment levels.

  In determining the fund source distribution to the counties, each county was first guaranteed at least what they would otherwise received in Cycle 2 under the original Cycles 1 & 2 framework as compared to the original July 8, 2011 OBAG proposal. This resulted in the county of Marin receiving an additional $1.1 million, county of Napa receiving $1.3 million each, and the county of Solano receiving $1.4 million, for a total of $3.8 million (in CMAQ funds) off the top to hold these counties harmless. The Transportation Enhancement (TE) funds were then distributed based on the county TE shares available for OBAG as approved in the 2012 Regional Transportation Improvement Program (RTIP). STP funds were then assigned to the CMA planning and outreach activities. The remaining STP funds assigned to OBAG were then distributed to each county based on the OBAG distribution formula. The remaining funds were distributed as CMAQ per the OBAG distribution formula. The hold harmless clause resulted in a slight deviation in the OBAG formula distribution for the overall funding amounts for each county.

- Priority Development Area (PDA) Policies
  - PDA minimum: CMAs in larger counties (Alameda, Contra Costa, San Mateo, San Francisco, and Santa Clara) shall direct at least 70% of their OBAG

investments to the PDAs. For North Bay counties (Marin, Napa, Solano, and Sonoma) this minimum target is 50% to reflect the more rural nature of these counties. A project lying outside the limits of a PDA may count towards the minimum provided that it directly connects to or provides proximate access to a PDA. Depending on the county, CMA planning costs would partially count towards PDA targets (70% or 50%) in line with its PDA funding target. At MTC staff discretion, consideration may be given to counties that provided higher investments in PDAs in Cycle 1 as part of an overall Cycle 1 and 2 investment package. Priority Conservation Area (PCA) investments do not count towards PDA targets and must use "anywhere" funds. The PDA/'anywhere' funding split is shown in Appendix A-4.

- PDA Boundary Delineation: Refer to http://geocommons.com/maps/141979 which provides a GIS overlay of the PDAs in the Bay Area to exact map boundaries including transportation facilities. As ABAG considers and approves new PDA designations this map will be updated.

- Defining "proximate access to PDAs": The CMAs make the determination for projects to count toward the PDA minimum that are not otherwise geographically located within a PDA. For projects not geographically within a PDA, CMAs are required to map projects and designate which projects are considered to support a PDA along with policy justifications. This analysis would be subject to public review when the CMA board acts on OBAG programming decisions. This should allow decision makers, stakeholders, and the public to understand how an investment outside of a PDA is to be considered to support a PDA and to be credited towards the PDA investment minimum target. MTC staff will evaluate and report to the Commission on how well this approach achieves the OBAG objectives prior to the next programming cycle.

- PDA Investment & Growth Strategy: By May 1, 2013, CMAs shall prepare and adopt a PDA Investment & Growth Strategy to guide transportation investments that are supportive of PDAs. An existing Investment and Growth Strategy adopted by the County will be considered as meeting this requirement if it satisfies the general terms in Appendix A-6. See Appendix A-6 for details.

▶ Performance and Accountability Policies: Jurisdictions need to comply with the following policies in order to be eligible recipients of OBAG funds.

- To be eligible for OBAG funds, a jurisdiction will need to address complete streets policies at the local level through the adoption of a complete streets policy resolution no later than January 31, 2013. A jurisdiction can also meet this requirement through a general plan that complies with the Complete Streets Act of 2008. Staff will provide minimum requirements based on best practices for the resolution. A county can provide its jurisdictions an extension of the deadline to June 30, 2013 as long as no programming for projects are requested of MTC until jurisdictions are in compliance. As discussed below, jurisdictions will be expected to have a general plan that complies within the Complete Streets Act of 2008 to be eligible for the next round of funding.

- A jurisdiction is required to have its general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for 2007-14 RHNA prior to January 31, 2013. If a jurisdiction submits its housing element to the state on a timely basis for review, but the State's comment letter identifies deficiencies that the local jurisdictions must address in order to receive HCD certification, then the local jurisdiction may submit a request to the Joint MTC Planning / ABAG Administrative Committee for a time extension to address the deficiencies and resubmit its revised draft housing element to HCD for re-consideration and certification.
- For the OBAG cycle subsequent to FY 2015-16, jurisdictions must adopt housing elements by January 31, 2015 (based on a July 2013 SCS adoption date); therefore, jurisdictions will be required to have General Plans with approved housing elements and that comply with the Complete Streets Act of 2008 by that time to be eligible for funding. This schedule allows jurisdictions to meet the housing and complete streets policies through one general plan amendment.
- OBAG funds may not be programmed to any jurisdiction out of compliance with OBAG policies and other requirements specified in this attachment. The CMA will be responsible for tracking progress towards these requirements and affirming to MTC that a jurisdiction is in compliance prior to MTC programming OBAG funds to its projects in the TIP.
- For a transit agency project sponsor under a JPA or district (not under the governance of a local jurisdiction), the jurisdiction where the project (such as station/stop improvements) is located will need to comply with these policies before funds may be programmed to the transit agency project sponsor. However, this is not required if the project is transit/rail agency property such as, track, rolling stock or transit maintenance facility.
- CMAs will provide documentation for the following prior to programming projects in the TIP:
    - The approach used to select OBAG projects including outreach and a board adopted list of projects
    - Compliance with MTC's complete streets policy
    - A map delineating projects selected outside of PDAs indicating those that are considered to provide proximate access to a PDA including their justifications as outlined on the previous page. CMA staff is expected to use this exhibit when it presents its program of projects to explain the how "proximate access" is defined to their board and the public.
    - Self-certification that the PDA Investment and Growth Strategy, Performance and Accountability Measures, and Outreach have been met using the checklist developed by MTC and the CMAs.
- MTC staff will report on the outcome of the CMA project selection process in late 2013. This information will include, but not be limited to, the following:
    - Mix of project types selected;
    - Projects funded within PDAs and outside of PDAs and how proximity and direct connections were used and justified through the county process;

  - Complete streets elements that were funded;
  - Adherence to the performance and accountability requirements;
  - Amount of funding to various jurisdictions and how this related to the distribution formula that includes population, RHNA housing allocations and housing production, as well as low-income housing factors.
  - Public participation process.

- The CMAs will also be required to present their PDA Growth Strategy to the Joint MTC Planning / ABAG Administrative Committee.

▶ Project Selection: County congestion management agencies or substitute agencies are given the responsibility to develop a project selection process along with evaluation criteria, issue a call for projects, conduct outreach, and select projects

- Public Involvement: The decision making authority to select projects for federal funding accompanies responsibilities to ensure that the process complies with federal statutes and regulations. In order to ensure that the CMA process for administering OBAG is in compliance, CMAs are required to lead a public outreach process as directed by Appendix A-5.

- Unified Call for Projects: CMAs are requested to issue one unified call for projects for their One Bay Area grant, with a final project list due to MTC by June 30, 2013. CMA staff need to ensure that all projects are submitted using the Fund Management System (FMS) no later than July 30, 2013. The goal of this process is to reduce staff time, coordinate all programs to respond to larger multi-modal projects, and provide project sponsors the maximum time to deliver projects.

- Project Programming Targets and Delivery Deadlines: CMAs must program their block grant funds over the four-year period of Cycle 2 (FY 2012-13 through FY 2015-16). The expectation is that the CMA planning activities \ project would use capacity of the first year to provide more time for delivery as contrasted to other programs which tend to have more complex environmental and design challenges, but this is not a requirement. The funding is subject to the provisions of the Regional Project Delivery Policy (MTC Resolution 3606 or its successor) including the Request for Authorization (RFA) submittal deadline and federal authorization/obligation deadline. Furthermore the following funding deadlines apply for each county, with earlier delivery strongly encouraged:
  - Half of the OBAG funds, including all funds programmed for the PE phase, must be obligated (federal authorization/E-76) by March 31, 2015.
  - All remaining OBAG funds must be obligated by March 31, 2016.

CYCLE 2 COUNTY ONE BAY AREA GRANT PROJECT GUIDANCE

The categories below comprise the Cycle 2 County One Bay Area Grant Program, administered by the county congestion management agencies. Project selection should ensure that all of the eligibility requirements below are met. MTC staff will work with CMAs and project sponsors to

resolve any eligibility issues which may arise, including air quality conformity exceptions and requirements.

1. CMA Planning and Outreach

This category provides funding to the nine county Congestion Management Agencies (CMAs) to support regional planning, programming and outreach activities. Such efforts include: county-based planning efforts for development of the RTP/SCS; development of PDA growth strategies; development and implementation of a complete streets compliance protocol; establishing land use and travel forecasting process and procedures consistent with ABAG/MTC; ensuring the efficient and effective delivery of federal-aid local projects; and undertaking the programming of assigned funding and solicitation of projects. The base funding level reflects continuing the Transportation 2035 commitment level by escalating at 3% per year from the base amount in FY 2011-12. In addition, the CMAs may request additional funding from their share of OBAG to enhance or augment additional activities at their discretion. All funding and activities will be administered through an interagency agreement between MTC and the respective CMA. Actual amounts for each CMA as augmented, are shown in Appendix A-2

2. Local Streets and Roads Preservation

This category is for the preservation of local streets and roads on the federally-eligible system. To be eligible for funding of any Local Streets and Roads (LSR) preservation project, the jurisdiction must have a certified Pavement Management Program (StreetSaver® or equivalent). The needs analysis ensures that streets recommended for treatment are cost effective. Pavement projects should be based on the needs analysis resulting from the established Pavement Management Program (PMP) for the jurisdiction. MTC is responsible for verifying the certification status. The certification status can be found at www.mtcpms.org/ptap/cert.html. Specific eligibility requirements are included below:

Pavement Rehabilitation:
Pavement rehabilitation projects including pavement segments with a PCI below 70 should be consistent with segments recommended for treatment within the programming cycle by the jurisdiction's PMP.

Preventive Maintenance: Only projects where pavement segments have a Pavement Condition Index (PCI) of 70 or above are eligible for preventive maintenance. Furthermore, the local agency's Pavement Management Program (PMP) must demonstrate that the preventive maintenance strategy is a cost effective method of extending the service life of the pavement.

Non-Pavement:
Eligible non-pavement activities and projects include rehabilitation or replacement of existing features on the roadway facility, such as storm drains, National Pollutant Discharge Elimination System (NPDES), curbs, gutters, culverts, medians, guardrails, safety features, signals, signage, sidewalks, ramps and features that bring the facility to current standards. The jurisdiction must still have a certified PMP to be eligible for improvements to non-pavement features.

Activities that are not eligible for funding include: Air quality non-exempt projects (unless granted an exception by MTC staff), capacity expansion, new roadways, roadway extensions, right of way

acquisition (for future expansion), operations, routine maintenance, spot application, enhancements that are above and beyond repair or replacement of existing assets (other than bringing roadway to current standards), and any pavement application not recommended by the Pavement Management Program unless otherwise allowed above.

Federal-Aid Eligible Facilities: Federal-aid highways as defined in 23 U.S.C. 101(a)(5) are eligible for local streets and roads preservation funding. A federal-aid highway is a public road that is not classified as a rural minor collector or local road or lower. Project sponsors must confirm the eligibility of their roadway through the Highway Performance Monitoring System (HPMS) prior to the application for funding.

Federal Aid Secondary (FAS) Program Set-Aside: While passage of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 dissolved the Federal Aid Secondary (FAS) program, California statutes provide the continuation of minimum funding to counties, guaranteeing their prior FAS shares. The first three years of Cycle 2 were covered up-front under the Cycle 1 FAS program (covering a total 6-year period). The fourth year of Cycle 2 will be covered under the OBAG. Funding provided to the counties by the CMAs under OBAG will count toward the continuation of the FAS program requirement.

3. Bicycle and Pedestrian Improvements

The Bicycle and Pedestrian program may fund a wide range of bicycle and pedestrian improvements including Class I, II and III bicycle facilities, bicycle education, outreach, sharing and parking, sidewalks, ramps, pathways and pedestrian bridges, user safety and supporting facilities, and traffic signal actuation.

According to CMAQ eligibility requirements, bicycle and pedestrian facilities must not be exclusively recreational and reduce vehicle trips resulting in air pollution reductions. Also to meet the needs of users, hours of operation need to be reasonable and support bicycle / pedestrian needs particularly during commute periods. For example the policy that a trail be closed to users before sunrise or after sunset limits users from using the facility during the peak commute hours, particularly during times of the year with shorter days. These user restrictions indicate that the facility is recreational rather than commute oriented. Also, as contrasted with roadway projects, bicycle and pedestrian projects may be located on or off the federal-aid highway system.

4. Transportation for Livable Communities

The purpose of Transportation for Livable Communities (TLC) projects is to support community-based transportation projects that bring new vibrancy to downtown areas, commercial cores, high-density neighborhoods, and transit corridors, enhancing their amenities and ambiance and making them places where people want to live, work and visit. The TLC program supports the RTP/SCS by investing in improvements and facilities that promote alternative transportation modes rather than the single-occupant automobile.

General project categories include the following:

- Station Improvements such as plazas, station access pocket parks, bicycle parking
- Complete streets improvements that encourage bicycle and pedestrian access

- Transportation Demand Management projects including carsharing, vanpooling traveler coordination and information or Clipper®-related projects
- Connectivity projects connecting high density housing/jobs/mixed use to transit, such as bicycle/pedestrian paths and bridges and safe routes to transit.
- Density Incentives projects and non-transportation infrastructure improvements that include density bonuses, sewer upgrade, land banking or site assembly (these projects require funding exchanges to address federal funding eligibility limitations)
- Streetscape projects focusing on high-impact, multi-modal improvements or associated with high density housing/mixed use and transit (bulb outs, sidewalk widening , cross walk enhancements, audible signal modification, mid block crossing and signal, new stripping for bicycle lanes and road diets, pedestrian street lighting, medians, pedestrian refugees, way finding signage, pedestrian scaled street furniture including bus shelters, tree grates, benches, bollards, magazine racks, garbage and recycling bins, permanent bicycle racks, signal modification for bicycle detection, street trees, raised planters, planters, costs associated with on- site storm water management, permeable paving)
- Funding for TLC projects that incentivize local PDA Transit Oriented Development Housing

5. Safe Routes to School

The county Safe Routes to School Program continues to be a regional program. The funding is distributed directly to the CMAs by formula through the Cycle 2 regional program (see Appendix A-3). However, a CMA may use OBAG funding to augment this amount. Eligible projects include infrastructure and non-infrastructure projects that facilitate reduction in vehicular travel to and from schools. It is important to note that CMAQ is used to fund this program which is targeted towards air quality improvement rather than children's health or safety. Nevertheless CMAQ eligibility overlaps with Safe Routes to School Program projects that are eligible under the federal and state programs with few exceptions which are noted below. Refer to the following link for detailed examples of eligible projects which is followed by CMAQ funding eligibility parameters: http://mtc.ca.gov/funding/STPCMAQ/7_SR2S_Eligibility_Matrix.pdf

Non-Infrastructure Projects

Public Education and Outreach Activities

- Public education and outreach can help communities reduce emissions and congestion by inducing drivers to change their transportation choices.
- Activities that promote new or existing transportation services, developing messages and advertising materials (including market research, focus groups, and creative), placing messages and materials, evaluating message and material dissemination and public awareness, technical assistance, programs that promote the Tax Code provision related to commute benefits, and any other activities that help forward less-polluting transportation options.
- Air quality public education messages: Long-term public education and outreach can be effective in raising awareness that can lead to changes in travel behavior and ongoing emissions reductions; therefore, these activities may be funded indefinitely.
- Non-construction outreach related to safe bicycle use
- Travel Demand Management Activities including traveler information services, shuttle services, carpools, vanpools, parking pricing, etc.

Infrastructure Projects

Bicycle/Pedestrian Use:

- Constructing bicycle and pedestrian facilities (paths, bike racks, support facilities, etc.) that are not exclusively recreational and reduce vehicle trips
- Programs for secure bicycle storage facilities and other facilities, including bicycle lanes, for the convenience and protection of bicyclists, in both public and private areas new construction and major reconstructions of paths, tracks, or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest
- Traffic calming measures

Exclusions found to be ineligible uses of CMAQ funds:

- Walking audits and other planning activities (STP based on availability will be provided for these purposes upon CMA's request)
- Crossing guards and vehicle speed feedback devices, traffic control that is primarily oriented to vehicular traffic rather than bicyclists and pedestrians
- Material incentives that lack an educational message or exceeding a nominal cost.

6. Priority Conservation Areas

This is an outgrowth of the new regional program pilot for the development of Priority Conservation Area (PCA) plans and projects to assist counties to ameliorate outward development expansion and maintain their rural character. A CMA may use OBAG funding to augment grants received from the regionally competitive program or develop its own county PCA program Generally, eligible projects will include planning, land / easement acquisition, open space access projects, and farm-to-market capital projects.

PROGRAM SCHEDULE

Cycle 2 spans apportionments over four fiscal years: FY 20012-13, FY 2013-14, FY 2014-15 and FY 2015-16. Programming in the first year will generally be for the on-going regional operations and regional planning activities which can be delivered immediately, allowing the region to meet the obligation deadlines for use of FY 2012-13 funds. This strategy, at the same time, provides several months during FY 2012-13 for program managers to select projects and for MTC to program projects into the TIP to be obligated during the remaining second, third and fourth years of the Cycle 2 period. If CMAs wish to program any OBAG funds in the first year, MTC will try to accommodate requests depending on available federal apportionments and obligation limitations, as long as the recipient has meet the OBAG requirements.

Appendix A-1

Cycle 2
Regional and County Programs
FY 2012-13 through FY 2015-16
October 24, 2012

Proposed Cycle 2 Funding Commitments

Regional Program (millions $ - rounded)		4-Year Total
Regional Categories		
1	Regional Planning Activities	$7
2	Regional Operations	$95
3	Freeway Performance Initiative	$96
4	Pavement Management Program	$7
5	Priority Development Activities	$40
6	Climate Initiatives	$20
7	Safe Routes To School	$20
8	Transit Capital Rehabilitation	$150
9	Transit Performance Initiative	$30
10	Priority Conservation Area	$10
	Regional Program Total:	**$475**
		60%

One Bay Area Grant (OBAG) (millions $ - rounded)		4-Year Total
Counties		
1	Alameda	**$63**
2	Contra Costa	**$45**
3	Marin	**$10**
4	Napa	**$6**
5	San Francisco	**$38**
6	San Mateo	**$26**
7	Santa Clara	**$88**
8	Solano	**$18**
9	Sonoma	**$23**
	OBAG Total:*	**$320**
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Cycle 2 Total Total:*	**$795**

* Amounts may not total due to rounding
* OBAG amounts revised October 2012 to reflect revised RHNA, released July 2012.

Appendix A-2

Cycle 2
Planning & Outreach
FY 2012-13 through FY 2015-16
November 2013

OBAG - County CMA PlanninG

County	Agency	Cycle 2 OBAG County CMA Planning - Base 2012-13	2013-14	2014-15	2015-16	SubTotal	CMA-OBAG Augmentation	Total
Alameda	ACTC	$916,000	$944,000	$973,000	$1,003,000	$3,836,000	$3,270,000	**$7,106,000**
Contra Costa	CCTA	$725,000	$747,000	$770,000	$794,000	$3,036,000	$1,214,000	**$4,250,000**
Marin	TAM	$638,000	$658,000	$678,000	$699,000	$2,673,000	$418,000	**$3,091,000**
Napa	NCTPA	$638,000	$658,000	$678,000	$699,000	$2,673,000	$0	**$2,673,000**
San Francisco	SFCTA	$667,000	$688,000	$709,000	$731,000	$2,795,000	$773,000	**$3,568,000**
San Mateo	SMCCAG	$638,000	$658,000	$678,000	$699,000	$2,673,000	**$752,000**	**$3,425,000**
Santa Clara	VTA	$1,014,000	$1,045,000	$1,077,000	$1,110,000	$4,246,000	$1,754,000	**$6,000,000**
Solano	STA	$638,000	$658,000	$678,000	$699,000	$2,673,000	$333,000	**$3,006,000**
Sonoma	SCTA	$638,000	$658,000	$678,000	$699,000	$2,673,000	$0	**$2,673,000**
County CMAs Total:		**$6,512,000**	**$6,714,000**	**$6,919,000**	**$7,133,000**	**$27,278,000**	**$8,514,000**	**$35,792,000**

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Regional Agency Planning

Regional Agency	Cycle 2 Regional Agency Planning - Base 2012-13	2013-14	2014-15	2015-16	SubTotal	Augmentation	Total
ABAG	$638,000	$658,000	$678,000	$699,000	$2,673,000	$0	**$2,673,000**
BCDC	$320,000	$330,000	$340,000	$351,000	$1,341,000	$0	**$1,341,000**
MTC	$638,000	$658,000	$678,000	$699,000	$2,673,000	$0	**$2,673,000**
Regional Agencies Total:	**$1,596,000**	**$1,646,000**	**$1,696,000**	**$1,749,000**	**$6,687,000**	**$0**	**$6,687,000**

$42,479,000

Appendix A-3

Cycle 2
Safe Routes to School County Distribution
FY 2012-13 through FY 2015-16
May 2012

Safe Routes To School County Distribution

County	Public School Enrollment (K-12) *	Private School Enrollment (K-12) *	Total School Enrollment (K-12) *	Percentage	Annual Funding	Total Funding	Total Funding
					$5,000,000	$20,000,000	$20,000,000
Alameda	214,626	24,537	239,163	21%	$1,073,184	$4,292,737	$4,293,000
Contra Costa	166,956	16,274	183,230	16%	$822,199	$3,288,796	$3,289,000
Marin	29,615	5,645	35,260	3%	$158,220	$632,882	$633,000
Napa	20,370	3,036	23,406	2%	$105,029	$420,114	$420,000
San Francisco	56,454	23,723	80,177	7%	$359,774	$1,439,097	$1,439,000
San Mateo	89,971	16,189	106,160	10%	$476,367	$1,905,466	$1,905,000
Santa Clara	261,945	38,119	300,064	27%	$1,346,462	$5,385,850	$5,386,000
Solano	67,117	2,855	69,972	6%	$313,982	$1,255,928	$1,256,000
Sonoma	71,049	5,787	76,836	7%	$344,782	$1,379,130	$1,379,000
Total:	978,103	136,165	1,114,268	100%	$5,000,000	$20,000,000	$20,000,000

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* From California Department of Education for FY 2010-11

Appendix A-4

Cycle 2
OBAG County Fund Distribution
FY 2012-13 through FY 2015-16
October 24, 2012

OBAG Geographic Funding Distribution

County	OBAG Funds	PDA/Anywhere Split	PDA	Anywhere
Alameda	$63,065,000	70/30	$44,146,000	$18,919,000
Contra Costa	$45,204,000	70/30	$31,643,000	$13,561,000
Marin	$10,028,000	50/50	$5,014,000	$5,014,000
Napa	$6,661,000	50/50	$3,331,000	$3,330,000
San Francisco	$38,584,000	70/30	$27,009,000	$11,575,000
San Mateo	$26,524,000	70/30	$18,567,000	$7,957,000
Santa Clara	$88,126,000	70/30	$61,688,000	$26,438,000
Solano	$18,769,000	50/50	$9,385,000	$9,384,000
Sonoma	$23,039,000	50/50	$11,520,000	$11,519,000
Total:	**$320,000,000**		**$212,303,000**	**$107,697,000**

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OBAG amounts revised October 2012 to reflect revised RHNA, released July 2012.

Appendix A-5: One Bay Area Grant Call for Projects Guidance

The Metropolitan Transportation Commission (MTC) has delegated OBAG project selection to the nine Bay Area Congestion Management Agencies (CMAs) as they are best suited for this role because of their existing relationships with local jurisdictions, elected officials, transit agencies, community organizations and stakeholders, and members of the public within their respective counties. In order to meet federal requirements that accompany the decision-making process regarding federal transportation funding, MTC expects the CMAs to plan and execute an effective public outreach and local engagement process to solicit candidate projects to be submitted to MTC for consideration for inclusion in the Cycle 2 One Bay Area Grant Program. CMAs will also serve as the main point of contact for local sponsoring agencies and members of the public submitting projects for consideration for inclusion in the 2013 Transportation Improvement Program.

CMAs will conduct a transparent process for the Call for Projects while complying with federal regulations by carrying out the following activities:

1. **Public Involvement and Outreach**
   - ***Conduct countywide outreach to stakeholders and the public to solicit project ideas.*** CMAs will be expected to implement their public outreach efforts in a manner consistent with MTC's Public Participation Plan (MTC Resolution No. 3821), which can be found at http://www.mtc.ca.gov/get_involved/participation_plan.htm. CMAs are expected at a minimum to:
     - Execute effective and meaningful local engagement efforts during the call for projects by working closely with local jurisdictions, elected officials, transit agencies, community-based organizations, and the public through the project solicitation process.
     - Explain the local Call for Projects process, informing stakeholders and the public about the opportunities for public comments on project ideas and when decisions are to be made on the list of projects to be submitted to MTC;
     - Hold public meetings and/or workshops at times which are conducive to public participation to solicit public input on project ideas to submit;
     - Post notices of public meetings and hearing(s) on their agency website; include information on how to request language translation for individuals with limited English proficiency. If agency protocol has not been established, please refer to MTC's Plan for Assisting Limited English Proficient Populations at http://www.mtc.ca.gov/get_involved/lep.htm
     - Hold public meetings in central locations that are accessible for people with disabilities and by public transit;
     - Offer language translations and accommodations for people with disabilities, if requested at least three days in advance of the meeting.

   - ***Document the outreach effort undertaken for the local call for projects.*** CMAs are to provide MTC with:
     - A description of how the public was involved in the process for nominating and/or commenting on projects selected for OBAG funding. Specify whether public input was

gathered at forums held specifically for the OBAG project solicitation or as part of a separate planning or programming outreach effort;
- A description of how the public engagement process met the outreach requirements of MTC's Public Participation Plan, including how the CMA ensured full and fair participation by all potentially affected communities in the project submittal process.
- A summary of comments received from the public and a description of how public comments informed the recommended list of projects submitted by the CMA.

2. Agency Coordination

- ***Work closely with local jurisdictions, transit agencies, MTC, Caltrans, federally recognized tribal governments, and stakeholders to identify projects for consideration in the* OBAG *Program.*** CMAs will assist with agency coordination by:
  - Communicating this Call for Projects guidance to local jurisdictions, transit agencies, federally recognized tribal governments, and other stakeholders

3. Title VI Responsibilities

- ***Ensure the public involvement process provides underserved communities access to the project submittal process as in compliance with Title VI of the Civil Rights Act of 1964.***
  - Assist community-based organizations, communities of concern, and any other underserved community interested in having projects submitted for funding;
  - Remove barriers for persons with limited-English proficiency to have access to the project submittal process;
  - For Title IV outreach strategies, please refer to MTC's Public Participation Plan found at: http://www.onebayarea.org/get_involved.htm
  - Additional resources are available at
    i. http://www.fhwa.dot.gov/civilrights/programs/tvi.htm
    ii. http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC.html#TitleVI
    iii. http://www.mtc.ca.gov/get_involved/rights/index.htm

Appendix A-6: PDA Investment & Growth Strategy

The purpose of a PDA Investment & Growth Strategy is to ensure that CMAs have a transportation project priority-setting process for OBAG funding that supports and encourages development in the region's PDAs, recognizing that the diversity of PDAs will require different strategies. Some of the planning activities noted below may be appropriate for CMAs to consider for jurisdictions or areas not currently designated as PDAs if those areas are still considering future housing and job growth. Regional agencies will provide support, as needed, for the PDA Investment & Growth Strategies. From time to time, MTC shall consult with the CMAs to evaluate progress on the PDA Investment and Growth Strategy. This consultation may result in specific work elements shifting among MTC, ABAG and the CMAs. Significant modifications to the scope of activities may be formalized through future revisions to this resolution. The following are activities CMAs need to undertake in order to develop a project priority-setting process:

(1) Engaging Regional/Local Agencies

- Develop or continue a process to regularly engage local planners and public works staff. Encourage community participation throughout the planning process and in determining project priorities
- Participate as a TAC member in local jurisdiction planning processes funded through the regional PDA Planning Program or as requested by jurisdictions. Partner with MTC and ABAG staff to ensure that regional policies are addressed in PDA plans.

(2) Planning Objectives – to Inform Project Priorities

- Keep apprised of ongoing transportation and land-use planning efforts throughout the county
- Encourage local agencies to quantify transportation infrastructure needs and costs as part of their planning processes
- Encourage and support local jurisdictions in meeting their housing objectives established through their adopted Housing Elements and RHNA.
    - *Short-term*: By May 1, 2013, receive and review information submitted to the CMA by ABAG on the progress of local jurisdictions in implementing their housing element objectives and identify current local housing policies that encourage affordable housing production and/or community stabilization.
    - *Long-term*: Starting in May 2014 and in all subsequent updates, PDA Investment & Growth Strategies will assess local jurisdiction efforts in approving sufficient housing for all income levels through the RHNA process and, where appropriate, assist local jurisdictions in implementing local policy changes to facilitate achieving these goals[1]. The locally crafted policies should be targeted to the specific circumstances of each PDA. For example, if the PDA currently does not provide for a mix of income-levels, any recommend policy changes should be aimed at promoting affordable housing. If the PDA currently is mostly low-income housing, any needed policy changes should be aimed at community stabilization. This analysis will be coordinated with related work conducted through the Housing and Urban Development (HUD) grant awarded to the region in fall 2011.

(3) Establishing Local Funding Priorities - Develop funding guidelines for evaluating OBAG projects that support multi-modal transportation priorities based on connections to housing, jobs and commercial activity. Emphasis should be placed on the following factors when developing project evaluation criteria:

- **Projects located in high impact project areas**. Key factors defining high impact areas include:
    a. Housing – PDAs taking on significant housing growth in the SCS (total number of units and percentage change), including RHNA allocations, as well as housing production

[1] Such as inclusionary housing requirements, city-sponsored land-banking for affordable housing production, "just cause eviction" policies, policies or investments that preserve existing deed-restricted or "naturally" affordable housing, condo conversion ordinances that support stability and preserve affordable housing, etc.

b. Jobs in proximity to housing and transit (both current levels and those included in the SCS),
c. Improved transportation choices for all income levels (reduces VMT), proximity to quality transit access, with an emphasis on connectivity (including safety, lighting, etc.)
d. Consistency with regional TLC design guidelines or design that encourages multi-modal access: http://www.mtc.ca.gov/planning/smart_growth/tlc/2009_TLC_Design_Guidelines.pdf
e. Project areas with parking management and pricing policies

- **Projects located in Communities of Concern (COC)** – favorably consider projects located in a COC as defined by MTC (see: http://geocommons.com/maps/110983) or as defined by CMAs according to local priorities
- **PDAs with affordable housing preservation and creation strategies** – favorably consider projects in jurisdictions with affordable housing preservation and creation strategies or policies
- **PDAs that overlap or are colocated with: 1) populations exposed to outdoor toxic air contaminants as identified in the Air District's Community Air Risk Evaulation (CARE) Program and/or 2) freight transport infrastructure** –Favorably consider projects in these areas where local jurisdictions employ best management practices to mitigate PM and toxic air contaminants exposure.

Process/Timeline

CMAs develop PDA Investment & Growth Strategy	June 2012 – May 2013
PDA Investment & Growth Strategy Presentations by CMAs to Joint MTC Planning and ABAG Administrative Committee	Summer/Fall 2013
CMAs amend PDA Investment & Growth Strategy to incorporate follow-up to local housing production and policies	May 2014
CMAs submit annual progress reports related to PDA Growth Strategies, including status of jurisdiction progress on development/adoption of housing elements and complete streets ordinances.	May 2014, Ongoing

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Appendix A-7

Cycle 2
County PDA Implementation
FY 2012-13 through FY 2015-16
November 2012

County PDA Implementation

County	Administering Agency	OBAG Formula	PDA Planning Share *	County PDA Implementation Total
Alameda	ACTC	20.2%	19.5%	$3,905,000
Contra Costa	CCTA	14.2%	13.7%	$2,745,000
Marin	TAM	2.8%	3.8%	$750,000
Napa	NCTPA	1.7%	3.8%	$750,000
San Francisco **	City/County of SF	12.3%	11.9%	$2,380,000
San Mateo	SMCCAG	8.3%	8.0%	$1,608,000
Santa Clara	VTA	27.6%	26.7%	$5,349,000
Solano	STA	5.5%	5.3%	$1,066,000
Sonoma	SCTA	7.5%	7.2%	$1,447,000
County PDA Implementation Total:		100.0%	100.0%	$20,000,000

J:\PROJECT\Funding\T4 - New Act\T4 - STP-CMAQ\T4 Cycle Programming\T4 Second Cycle\Cycle 2 Policy Dev\One Bay Area Grant\[Cycle 2 STP-CMAQ-TE Fund Source Distribution.xls]CMA Planning

* County minimum of $750,000 for Marin and Napa results in actual PDA Implementation share different than OBAG formula share
** Funding for San Francisco to be provided to San Francisco City/County planning department

APPENDIX A-8: Priority Conservation Area (PCA) Program

Program Goals and Eligible Projects

The goal of the Priority Conservation Area Program is to support Plan Bay Area by preserving and enhancing the natural, economic and social value of rural lands in the Bay Area, for residents and businesses. These values include globally unique ecosystems, productive agricultural lands, recreational opportunities, healthy fisheries, and climate protection (mitigation and adaptation), among others. The PCA Program should also be linked to SB 375 goals which direct MPOs to prepare sustainable community strategies which consider resource areas and farmland in the region as defined in Section 65080.01 (attached). ABAG's FOCUS program delineates both the Priority Development Areas and the Priority Conservation Areas.

Per MTC Resolution No. 4035, the PCA program is split into two elements:

1. North Bay Program ($5 million)
2. Peninsula, Southern and Eastern Counties Program ($5 million)

The North Bay program framework is to be developed by the four North Bay county congestion management agencies, building on their PCA planning and priorities carried out to date. Project eligibility is limited by the eligibility of federal surface transportation funding; unless the CMA can exchange these funds or leverage new fund sources for their programs.

The Peninsula, Southern and Eastern Counties Program will be administered by the Coastal Conservancy in partnership with MTC and ABAG based on the proposal provided below. The table below outlines screening criteria, eligible applicants, and the proposed project selection and programming process for the Peninsula, Southern and Eastern Counties.

Funding Amount	• $5 million
Screening Criteria	• **PCA Designation:** If a project currently isn't in or doesn't connect to a PCA, the applicant must file an application with ABAG requesting a PCA designation. • **Regionally Significant**: Indicators of regional significance include a project's contribution to goals stated in regional habitat, agricultural or open space plans (i.e. *San Francisco Bay Area Upland Habitat Goals Project Report* at http://www.bayarealands.org/reports/), countywide Plans or ABAG's PCA designations. Applicants should describe who will benefit from the project and regional (greater-than-local need) it serves. • **Open Space Protection In Place**: Linkages to or location in a Greenbelt area that is policy protected from development. Land acquisition or easement projects would be permitted in an area without open space policy protections in place. • **Non-Federal Local Match**: 3:1 minimum match • **Meets Program Goals:** Projects that meet one of the following program goals (subject to funding eligibility—see next page): ○ Protects or enhances "resource areas" or habitats as defined in California Government Code Section 65080.01. ○ Provides or enhances bicycle and pedestrian access to open space / parkland resources. Notable examples are the Bay and Ridge Trail Systems. ○ Supports the agricultural economy of the region.

Eligible Applicants	• Local governments (cities, counties, towns), county congestion management agencies, tribes, water/utility districts, resource conservation districts, park and/or open space districts, land trusts and other land/resource protection nonprofit organizations in the nine-county San Francisco Bay Area are invited to nominate projects. Applicants are strongly encouraged to collaborate and partner with other entities on the nomination of projects, and partnerships that leverage additional funding will be given higher priority in the grant award process. **Partnerships are necessary with cities, counties, or CMAs in order to access federal funds. Project must have an implementing agency that is able to receive a federal-aid grant (master agreement with Caltrans)**
Emphasis Areas / Eligible Projects	**Eligible Projects** 1. **Planning Activities** 2. **Pedestrian and Bicycle Facilities/ Infrastructure:** On-road and off-road trail facilities, sidewalks, bicycle infrastructure, pedestrian and bicycle signals, traffic calming, lighting and other safety related infrastructure, and ADA compliance, conversion and use of abandoned rail corridors for pedestrians and bicyclists. 3. **Visual Enhancements**: Construction of turnouts, overlooks and viewing areas. 4. **Habitat / Environmental Enhancements:** Vegetation management practices in transportation rights-of-way, reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats, mitigation of transportation project environmental impacts funded through the federal-aid surface transportation program. 5. **Protection (Land Acquisition or Easement) or Enhancement of Natural Resources, Open Space or Agricultural Lands**: Parks and open space, staging areas or environmental facilities; or natural resources, such as listed species, identified priority habitat, wildlife corridors, wildlife corridors watersheds, or agricultural soils of importance.
Project Selection	**Coastal Conservancy* Partnership Program:** MTC will provide $5 million of federal transportation funds to the Conservancy which will be combined with the Conservancy's program funding, and further leveraged by private foundation funding, as the basis for a regional call for projects. In addition a broader range of projects (i.e. land acquisition and easement projects) can be accommodated, which is not the case with federal transportation funds alone. The Conservancy will manage the program in collaboration with MTC and ABAG staff. This approach would harness the expertise of the coastal conservancy, expand the pool of eligible projects, and leverage up to $10 million in additional resources through Coastal Conservancy, and the Moore Foundation**.

*The Coastal Conservancy is a state agency and the primary public land conservation funding source in the Bay Area, providing funding for many different types of land conservation projects. For more information see http://scc.ca.gov/
**The Gordon and Betty Moore Foundation seeks to advance environmental conservation, scientific research, and patient care--around the world and in the San Francisco Bay Area. For more information see http://www.moore.org/

Attachment B-1

MTC Res. No. 4035, Attachment B-1
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11/20/13-C 12/18/13-C
02/26/14-C 03/26/14-C
04/23/14-C

Cycle 2
Regional Programs Project List
FY 2012-13 through FY 2015-16
April 2014

Regional Programs Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other RTIP/TAP/TFCA	Total Cycle 2
CYCLE 2 REGIONAL PROGRAMS		**$435,687,000**	**$40,000,000**	**$475,187,000**
1. REGIONAL PLANNING ACTIVITIES (STP Planning)				
ABAG Planning	ABAG	$2,673,000	$0	$2,673,000
BCDC Planning	BCDC	$1,341,000	$0	$1,341,000
MTC Planning	MTC	$2,673,000	$0	$2,673,000
1. REGIONAL PLANNING ACTIVITIES (STP Planning)	**TOTAL:**	**$6,687,000**	**$0**	**$6,687,000**
2. REGIONAL OPERATIONS (RO)				
511 - Traveler Information	MTC	$48,770,000	$0	$48,770,000
Clipper® Fare Media Collection	MTC	$21,400,000	$0	$21,400,000
SUBTOTAL		$70,170,000	$0	$70,170,000
Incident Management Program	MTC/SAFE	$10,840,000	$0	$10,840,000
FSP/Call Box Program	MTC/SAFE	$14,462,000	$0	$14,462,000
SUBTOTAL		$25,302,000	$0	$25,302,000
2. REGIONAL OPERATIONS (RO)	**TOTAL:**	**$95,472,000**	**$0**	**$95,472,000**
3. FREEWAY PERFORMANCE INITIATIVE (FPI)				
Regional Performance Initiatives Implementation	MTC	$5,750,000	$0	$5,750,000
Regional Performance Initiatives Corridor Implementation	MTC/SAFE	$6,000,000	$0	$6,000,000
Program for Arterial System Synchronization (PASS)	MTC	$7,000,000	$0	$7,000,000
FPI - SCL I-280: Winchester I/C Modifications	VTA	$500,000	$0	$500,000
SUBTOTAL		$19,250,000	$0	$19,250,000
Ramp Metering and TOS Elements				
FPI - ALA I-580: SJ Co. Line to Vasco & Foothill to Crow Canyon	Caltrans	$0	$11,000,000	$11,000,000
FPI - ALA SR92 & I-880: Clawiter to Hesperian & Decoto Road	Caltrans	$656,000	$0	$656,000
FPI - CC SR4 & SR242: Loveridge to Alhambra & I-680 to SR 4 Ph. 1	MTC/SAFE	$750,000	$0	$750,000
FPI - CC SR4 & SR242: Loveridge to Alhambra & I-680 to SR 4 Ph. 2	Caltrans	$11,800,000	$0	$11,800,000
FPI - Various Corridors Caltrans PE and Right of Way	Caltrans	$1,000,000	$0	$1,000,000
FPI - SCL US 101: San Benito County Line to SR 85	Caltrans	$28,872,000	$0	$28,872,000
FPI - SOL I-80: I-505 to Yolo County Line.	Caltrans	$0	$23,000,000	$23,000,000
SUBTOTAL		$43,078,000	$34,000,000	$77,078,000
3. FREEWAY PERFORMANCE INITIATIVE (FPI)	**TOTAL:**	**$62,328,000**	**$34,000,000**	**$96,328,000**
4. PAVEMENT MANAGEMENT PROGRAM (PMP)				
Pavement Management Program (PMP)	MTC	$1,200,000	$0	$1,200,000
Pavement Technical Advisory Program (PTAP)	MTC	$6,000,000	$0	$6,000,000
4. PAVEMENT MANAGEMENT PROGRAM (PMP)	**TOTAL:**	**$7,200,000**	**$0**	**$7,200,000**
5. PRIORTY DEVELOPMENT AREA (PDA) PLANNING AND IMPLEMENTATION				
Regional PDA Planning and Implementation				
PDA Planning - ABAG	ABAG	$2,000,000	$0	$2,000,000
Regional PDA Planning	MTC	$8,000,000	$0	$8,000,000
SUBTOTAL		$10,000,000	$0	$10,000,000
Transit Oriented Affordable Housing (TOAH)				
SF Park Parking Pricing (Transit Oriented Affordable Housing Exchange)	SFMTA	$10,000,000	$0	$10,000,000
SUBTOTAL		$10,000,000	$0	$10,000,000
Local PDA Planning				
Local PDA Planning - Alameda	ACTC	$3,905,000	$0	$3,905,000
Local PDA Planning - Contra Costa	CCTA	$2,745,000	$0	$2,745,000
Local PDA Planning - Marin	TAM	$750,000	$0	$750,000
Local PDA Planning - City of Napa	Napa	$275,000	$0	$275,000
Local PDA Planning - American Canyon	American Canyon	$475,000	$0	$475,000
Local PDA Planning - San Francisco	SF City/County	$2,380,000	$0	$2,380,000
Local PDA Planning - San Mateo	SMCCAG	$1,608,000	$0	$1,608,000
Local PDA Planning - Santa Clara	VTA	$5,349,000	$0	$5,349,000
Local PDA Planning - Solano	STA	$1,066,000	$0	$1,066,000
Santa Rosa - Roseland/Sebastopol Road PDA Planning	Santa Rosa	$647,000	$0	$647,000
Sonoma County - Sonoma Springs Area Plan	Sonoma County	$450,000	$0	$450,000
Sonoma County - Airport Employment Center Planning	Sonoma County	$350,000	$0	$350,000
SUBTOTAL		$20,000,000	$0	$20,000,000

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Cycle 2
Regional Programs Project List
FY 2012-13 through FY 2015-16
April 2014

Regional Programs Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other RTIP/TAP/TFCA	Total Cycle 2
CYCLE 2 REGIONAL PROGRAMS		**$435,687,000**	**$40,000,000**	**$475,187,000**
5. PRIORTY DEVELOPMENT AREA (PDA) PLANNING AND IMPLEMENTATION	**TOTAL:**	**$40,000,000**	**$0**	**$40,000,000**
6. CLIMATE INITIATIVES PROGRAM (CIP)				
Bay Area Bike Share (Phase II)	**BAAQMD/MTC**	**$6,000,000**	$0	**$6,000,000**
EV Charging Infastructure and Vehicles (Programmed by BAAQMD)*	**BAAQMD**	$0	**$6,000,000**	**$6,000,000**
Car Sharing	**MTC**	**$2,000,000**	$0	**$2,000,000**
Transportation Demand Management	**MTC**	**$6,000,000**	$0	**$6,000,000**
6. CLIMATE INITIATIVES PROGRAM (CIP)	**TOTAL:**	**$14,000,000**	**$6,000,000**	**$20,000,000**
7. REGIONAL SAFE ROUTES TO SCHOOL (RSRTS)				
Specific projects TBD by CMAs				
Alameda County SRTS Program	ACTC	$4,293,000	$0	$4,293,000
Vista Grande Street Pedestrian Safe Routes to School Imps	Danville	$157,000	$0	$157,000
Happy Valley Road Walkway Safe Routes to School Imps	Lafayette	$100,000	$0	$100,000
Moraga Road Safe Routes to School Bicycle/Pedestrian Imps	Moraga	$100,000	$0	$100,000
Orinda Sidewalk Imps	Orinda	$100,000	$0	$100,000
San Ramon School Crossings Enhancements	San Ramon	$247,600	$0	$247,600
Pleasant Hill - Boyd Road and Elinora Drive Sidewalks	Pleasant Hill	$395,000	$0	$395,000
Actuated Ped /Bicycle Traffic Signal on Oak Grove Rd at Sierra Rd	Concord	$504,900	$0	$504,900
Cavallo Rd, Drake St, and 'G' Street Safe Routes to School Imps	Antioch	$330,000	$0	$330,000
Pittsburg School Area Safety Imps	Pittsburg	$203,000	$0	$203,000
Port Chicago Hwy/Willow Pass Rd Pedestrian & Bicycle Imps	Contra Costa County	$441,700	$0	$441,700
West Contra Costa SRTS Non-Infrastructure Program	Contra Costa County	$709,800	$0	$709,800
Marin County SRTS Program	TAM	$633,000	$0	$633,000
Napa County SRTS Non-Infrastructure Program	NCTPA	$420,000	$0	$420,000
San Francisco SRTS Non-Infrastructure Program	SFDPH	$1,439,000	$0	$1,439,000
San Mateo County SRTS Program	SMCCAG	$1,905,000	$0	$1,905,000
Campbell - Virginia Avenue Sidewalks	Campbell	$708,000	$0	$708,000
Mountain View - El Camino to Miramonte Complete Streets	Mountain View	$840,000	$0	$840,000
Mountain View SRTS Non-Infrastructure Program	Mountain View	$500,000	$0	$500,000
Palo Alto - Arastradero Road Schoolscape/Multi-use Trail	Palo Alto	$1,000,000	$0	$1,000,000
San Jose - Walk N' Roll Phase 2	San Jose	$1,000,000	$0	$1,000,000
City of Santa Clara SRTS Non-Infrastructure Program Phase 2	Santa Clara	$500,000	$0	$500,000
Santa Clara County SRTS Non-Infrastructure Program	Santa Clara County	$838,000	$0	$838,000
Solano County SRTS Non-Infrastructure Program	STA	$1,256,000	$0	$1,256,000
Sonoma County SRTS Program	Sonoma County TPW	$1,379,000	$0	$1,379,000
7. REGIONAL SAFE ROUTES TO SCHOOL (RSRTS)	**TOTAL:**	**$20,000,000**	**$0**	**$20,000,000**
8. TRANSIT CAPITAL REHABILITATION PROGRAM				
SolTrans - Preventive Maintenance	SolTrans	$1,000,000	$0	$1,000,000
Transit Capital Rehabilitation				
Specific Projects TBD by Commission				
ECCTA Replace Eleven 2001 40' Buses	ECCTA	$636,763	$0	$636,763
BART Car Exchange Preventative Maintenance	BART	**$2,831,849**	$0	**$2,831,849**
Clipper Fare Collection Equipment Replacement	MTC	$9,994,633	$0	$9,994,633
SFMTA - New 60' Flyer Trolly Bus Replacement	SFMTA	$15,502,261	$0	$15,502,261
VTA Preventive Maintenance (for vehicle replacement)	VTA	$3,349,722	$0	$3,349,722
Unanticipated Cost Reserve	TBD	$2,000,000	$0	$2,000,000
Specific Transit Capital Rehabilitation Program projects - TBD	TBD	$2,684,772	$0	$2,684,772
SUBTOTAL		$37,000,000	$0	$37,000,000
Transit Performance Initiative (TPI) Incentive Program				
Specific Projects TBD by Commission				
TPI - AC Transit Spectrum Ridership Growth Project	AC Transit	$1,802,676	$0	$1,802,676
TPI - ACE Positive Train Control	SJRRC/ACE	$129,156	$0	$129,156
TPI - Marin Transit Preventive Maintenance (for low income youth pass)	Marin Transit	$99,289	$0	$99,289
TPI - BART Train Car Accident Repair	BART	$1,493,189	$0	$1,493,189
TPI - BART 24th Street Train Control Upgrade	BART	$2,000,000	$0	$2,000,000
TPI - SFMTA Preventive Maintenance (for low income youth pass)	SFMTA	$1,600,000	$0	$1,600,000

* Selected and funded by the BAAQMD. Listed here for informational purposes only

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02/26/14-C 03/26/14-C
04/23/14-C

Cycle 2
Regional Programs Project List
FY 2012-13 through FY 2015-16
April 2014

Regional Programs Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other RTIP/TAP/TFCA	Total Cycle 2
CYCLE 2 REGIONAL PROGRAMS		**$435,687,000**	**$40,000,000**	**$475,187,000**
TPI - SFMTA Light Rail Vehicle Rehabilitation	SFMTA	$5,120,704	$0	$5,120,704
TPI - VTA Preventive Maintenance (for low income fare pilot)	VTA	$1,302,018	$0	$1,302,018
TPI - AC Transit - East Bay Bus Rapid Transit	AC Transit	$2,155,405	$0	$2,155,405
TPI - BART - Metro Priority Track Elements	BART	$3,459,057	$0	$3,459,057
TPI - Caltrain - Off-peak Marketing Campaign	Caltrain	$44,200	$0	$44,200
TPI - Caltrain - Control Point Installation	Caltrain	$1,375,566	$0	$1,375,566
TPI - CCCTA - 511 Real-Time Interface Project	CCCTA	$100,000	$0	$100,000
TPI - CCCTA - Implementation of Access Improvement Project	CCCTA	$180,000	$0	$180,000
TPI - Petaluma - Transit Signal Priority, Phase I	City of Petaluma	$152,222	$0	$152,222
TPI - Santa Rosa - CityBus COA and Service Plan	City of Santa Rosa	$100,000	$0	$100,000
TPI - Vacaville - City Coach Public Transit Marketing / Public Outreach	City of Vacaville	$171,388	$0	$171,388
TPI - Marin Transit - MCTD Preventative Maintenance (Youth Pass Program)	Marin Transit	$116,728	$0	$116,728
TPI - NCTPA - Bus Mobility Device Retrofit Project	NCTPA	$120,988	$0	$120,988
TPI - SamTrans - Preventative Maintenance (Service Plan Implementation)	SMCTD	$687,240	$0	$687,240
TPI - SFMTA - Light rail Vehicle (LRV) Propulsion System	SFMTA	$4,629,676	$0	$4,629,676
TPI - Sonoma County Transit - 30-foot CNG Bus Replacements	Sonoma County	$173,052	$0	$173,052
Specific Transit Performance Initiative Incentive Program projects - TBD	TBD	$32,987,446	$0	$32,987,446
SUBTOTAL		$60,000,000	$0	$60,000,000
Transit Performance Initiative (TPI) Investment Program				
Specific Projects TBD by Commission				
TPI - Clipper Phase III Implementation	MTC	$8,000,000	$0	$8,000,000
Specific Transit Performance Initiative Investment Program projects - TBD	TBD	$44,000,000	$0	$44,000,000
SUBTOTAL		$52,000,000	$0	$52,000,000
8. TRANSIT CAPITAL REHABILITATION PROGRAM	**TOTAL:**	**$150,000,000**	**$0**	**$150,000,000**
9. TRANSIT PERFORMANCE INITIATIVE (TPI)				
TPI - Capital Program				
AC Transit - Line 51 Corridor Speed Protection and Restoration	AC Transit	$10,515,624	$0	$10,515,624
SFMTA - Mission Mobility Maximization	SFMTA	$5,383,109	$0	$5,383,109
SFMTA - N-Judah Mobility Maximization	SFMTA	$5,383,860	$0	$5,383,860
SFMTA - Bus Stop Consolidation and Roadway Modifications	SFMTA	$4,133,031	$0	$4,133,031
VTA - Light Rail Transit Signal Priority	VTA	$1,587,176	$0	$1,587,176
VTA - Stevens Creek - Limited 323 Transit Signal Priority	VTA	$712,888	$0	$712,888
Unprogrammed Transit Performance Initiative Reserve	TBD	$2,284,312	$0	$2,284,312
9. TRANSIT PERFORMANCE INITIATIVE (TPI)	**TOTAL:**	**$30,000,000**	**$0**	**$30,000,000**
10. PRIORITY CONSERVATION AREA (PCA)				
North Bay PCA Program				
Specific projects TBD by North Bay CMAs		$0	$0	$0
Marin PCA - Bayfront Park Recreational Bay Access	Mill Valley	$100,000	$0	$100,000
Marin PCA - Mill Valley - Sausalito Pathway Preservation	Marin County	$320,000	$0	$320,000
Marin PCA - Sunny Hill Ridge and Red Hill Trails	San Anselmo	$80,000	$0	$80,000
Marin PCA - Thatcher Ranch Easement Acq. (pending exchange)	**Novato**	**$250,000**	**$0**	**$250,000**
Marin PCA - Pacheco Hill Parkland Acq. (pending exchange)	**Novato**	**$500,000**	**$0**	**$500,000**
Napa PCA - Silverado Trail Yountville-Napa Safety Imps	**Napa County**	**$143,000**	**$0**	**$143,000**
Napa PCA: Napa Soscol Headwaters Preserve Acq. (pending exchange)	**Napa County**	**$1,107,000**	**$0**	**$1,107,000**
Solano PCA - Suisun Valley Bicycle and Pedestrian Imps	Solano County	$1,175,000	$0	$1,175,000
Solano PCA - Solano PCA Assessment Plan	STA	$75,000	$0	$75,000
Sonoma PCA - Bodega Hwy Roadway Preservation	Sonoma County	$1,000,000	$0	$1,000,000
Sonoma PCA - Sonoma County Urban Footprint Planning	Sonoma County	$250,000	$0	$250,000
SUBTOTAL		$5,000,000	$0	$5,000,000
Peninsula, Southern and Eastern Counties PCA Program				
Specific Projects TBD by Commission	TBD	$500,000	$0	$500,000
Bay Trail Shoreline Access Staging Area Project	**Berkeley**	**$500,000**	**$0**	**$500,000**
Brentwood Wallace Ranch Easement (pending exchange)	**CCTA**	**$500,000**	**$0**	**$500,000**
Breuner Marsh Restoration and Public Access	**EBRPD**	**$500,000**	**$0**	**$500,000**
SF Bay Trail, Pinole Shores to Bay Front Park	**EBRPD**	**$119,711**	**$0**	**$119,711**
Coyote Creek Trail: Brokaw Road to Union Pacific Railroad	**San Jose**	**$712,700**	**$0**	**$712,700**
Pier 70 - Crane Cove Park	**Port of SF**	**$1,000,000**	**$0**	**$1,000,000**

Attachment B-1

MTC Res. No. 4035, Attachment B-1
Adopted: 05/17/12-C
Revised: 10/24/12-C
11/28/12-C 12/19/12-C
01/23/13-C 02/27/13-C
05/22/13-C 09/25/13-C
11/20/13-C 12/18/13-C
02/26/14-C 03/26/14-C
04/23/14-C

Cycle 2
Regional Programs Project List
FY 2012-13 through FY 2015-16
April 2014

Regional Programs Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other RTIP/TAP/TFCA	Total Cycle 2
CYCLE 2 REGIONAL PROGRAMS		**$435,687,000**	**$40,000,000**	**$475,187,000**
Twin Peaks Connectivity Conceptual Plan	**SF Rec. and Parks**	**$167,589**	**$0**	**$167,589**
Southern Skyline Blvd. Ridge Trail Extension	**SF PUC**	**$1,000,000**	**$0**	**$1,000,000**
SUBTOTAL		$5,000,000	$0	$4,500,000
10. PRIORITY CONSERVATION AREA (PCA)	**TOTAL:**	**$10,000,000**	**$0**	**$9,500,000**
CYCLE 2 REGIONAL PROGRAMS TOTAL	**TOTAL:**	**$435,687,000**	**$40,000,000**	**$475,187,000**

J:\SECTION\ALLSTAFF\Resolution\RESOLUTIONS\MTC Resolutions\RES-4035_OBAG\[RES-4035_Attach_B-1.xlsx]Attach B-1 4-23-14 Revised

Attachment B-2

MTC Resolution No. 4035, Attachment B-2
Adopted: 05/17/12-C
Revised: 10/24/12-C
12/19/12-C 01/23/13-C
05/22/13-C 09/25/13-C
11/20/13-C 01/22/14-C
02/26/14-C

Cycle 2
OBAG Project List
FY 2012-13 through FY 2015-16
February 2014

OBAG Program Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other (RTIP, etc.)	Total Cycle 2
CYCLE 2 COUNTY OBAG PROGRAMMING		**$301,964,000**	**$18,036,000**	**$320,000,000**
ALAMEDA COUNTY				
Specific projects TBD by Alameda CMA	TBD	$149,000	$0	$149,000
CMA Base Planning Activities - Alameda	ACTC	$3,836,000	$0	$3,836,000
CMA Planning Activities Augmentation - Alameda	ACTC	$3,270,000	$0	$3,270,000
Alameda County Safe Routes to School Program	ACTC	$2,000,000	$0	$2,000,000
Alameda City Complete Streets	Alameda (City)	$635,000	$0	$635,000
Alameda County Various Streets and Roads Preservation	Alameda County	$1,665,000	$0	$1,665,000
Berkeley Downtown BART Plaza Streetscape	BART	$340,000	$3,726,000	$4,066,000
Shattuck Ave Complete Streets and De-Couplet	Berkeley	$2,777,000	$0	$2,777,000
Berkeley - Hearst Avenue Complete Streets	Berkeley	$2,156,000	$0	$2,156,000
Dublin Boulevard Preservation	Dublin	$470,000	$0	$470,000
Emeryville - Hollis Street Preservation	Emeryville	$100,000	$0	$100,000
Fremont Various Streets and Roads Preservation	Fremont	$2,105,000	$0	$2,105,000
Fremont City Center Multi-Modal Imps	Fremont	$5,855,000	$0	$5,855,000
Hayward - Industrial Boulevard Preservation	Hayward	$1,335,000	$0	$1,335,000
Livermore Various Streets Preservation	Livermore	$1,053,000	$0	$1,053,000
Enterprise Drive Complete Streets and Road Diet	Newark	$454,000	$0	$454,000
Oakland Complete Streets	Oakland	$3,851,000	$0	$3,851,000
7th Street West Oakland Transit Village Phase 2	Oakland	$3,288,000	$0	$3,288,000
Lakeside Complete Streets and Road Diet	Oakland	$7,000,000	$0	$7,000,000
Oakland - Peralta and MLK Jr. Way Streetscape- Phase I	Oakland	$5,452,000	$0	$5,452,000
Lake Merritt BART Bikeways	Oakland	$422,000	$0	$422,000
Piedmont Complete Streets	Piedmont	$129,000	$0	$129,000
Pleasanton Complete Streets	Pleasanton	$832,000	$0	$832,000
San Leandro Boulevard Preservation	San Leandro	$804,000	$0	$804,000
Whipple Road Complete Streets	Union City	$669,000	$0	$669,000
Union City BART TLC Phase 2	Union City	$8,692,000	$0	$8,692,000
ALAMEDA COUNTY	**TOTAL:**	**$59,339,000**	**$3,726,000**	**$63,065,000**
CONTRA COSTA COUNTY				
Specific projects TBD by Contra Costa CMA	TBD	$0	$0	$0
CMA Base Planning Activities - Contra Costa	CCTA	$3,036,000	$0	$3,036,000
CMA Planning Activities Augmentation - Contra Costa	CCTA	$1,214,000	$0	$1,214,000
Antioch 9th Street Preservation	Antioch	$673,000	$0	$673,000
Richmond BART Station Intermodal Imps.	BART	$2,900,000	$0	$2,900,000
Balfour Road Preservation	Brentwood	$290,000	$0	$290,000
Clayton Various Streets Preservation	Clayton	$386,000	$0	$386,000
Concord Various Streets Preservation	Concord	$757,000	$0	$757,000
Detroit Avenue Bicycle and Pedestrian Imps.	Concord	$965,000	$1,189,000	$2,154,000
Concord BART Station Bicycle and Ped. Access Imps.	Concord	$0	$1,195,000	$1,195,000
Contra Costa County Various Streets and Roads Preservation	Contra Costa County	$1,941,000	$0	$1,941,000
Danville Various Streets and Roads Preservation	Danville	$933,000	$0	$933,000
El Cerrito Various Streets and Roads Preservation	El Cerrito	$630,000	$0	$630,000
El Cerritto Ohlone Greenway Bike and Ped. Imps.	El Cerrito	$3,468,000	$0	$3,468,000
Hercules - Refugio Valley Road Preservation	Hercules	$702,000	$0	$702,000
Hercules Intermodal Transit Center	Hercules	$2,584,000	$0	$2,584,000
Lafayette - Mt. Diablo Blvd West Preservation	Lafayette	$584,000	$0	$584,000
Martinez Various Streets and Roads Preservation	Martinez	$1,023,000	$0	$1,023,000
Moraga Various Streets and Roads Preservation	Moraga	$709,000	$0	$709,000
Oakley Various Streets and Roads Preservation	Oakley	$1,031,000	$0	$1,031,000
Pinole - San Pablo Avenue Preservation	Pinole	$453,000	$0	$453,000
Pittsburg - Railroad Avenue Preservation	Pittsburg	$299,000	$0	$299,000
Pittsburg Multimodal Station Bike/Ped Access Imps.	Pittsburg	$1,300,000	$0	$1,300,000
Pleasant Hill - Contra Costa Boulevard Preservation	Pleasant Hill	$799,000	$0	$799,000
Golf Club Road Roundabout and Bike/Ped Imps.	Pleasant Hill	$4,770,000	$0	$4,770,000
Dornan Drive/Garrard Blvd Tunnel Rehabilitation	Richmond	$413,000	$0	$413,000
Richmond Local Streets and Roads Preservation	Richmond	$3,030,000	$0	$3,030,000
San Pablo Various Streets and Roads Preservation	San Pablo	$454,000	$0	$454,000
San Pablo Avenue Bicycle and Pedestrian Imps.	San Pablo	$5,978,000	$0	$5,978,000
San Ramon Valley Blvd Preservation	San Ramon	$291,000	$0	$291,000

Attachment B-2

MTC Resolution No. 4035, Attachment B-2
Adopted: 05/17/12-C
Revised: 10/24/12-C
12/19/12-C 01/23/13-C
05/22/13-C 09/25/13-C
11/20/13-C 01/22/14-C
02/26/14-C

Cycle 2
OBAG Project List
FY 2012-13 through FY 2015-16
February 2014

OBAG Program Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other (RTIP, etc.)	Total Cycle 2
CYCLE 2 COUNTY OBAG PROGRAMMING		**$301,964,000**	**$18,036,000**	**$320,000,000**
Walnut Creek North Main Street Preservation	Walnut Creek	$655,000	$0	$655,000
Ivy Street Preservation	**Orinda**	**$552,000**	**$0**	**$552,000**
CONTRA COSTA COUNTY	**TOTAL:**	**$42,820,000**	**$2,384,000**	**$45,204,000**
MARIN COUNTY				
Specific projects TBD by Marin CMA	TBD	$0	$0	$0
CMA Base Planning Activities - Marin	TAM	$2,673,000	$0	$2,673,000
CMA Planning Activities Augmentation - Marin	TAM	$418,000	$0	$418,000
Central Marin Ferry Bike/Ped Connection	TAM	$1,500,000	$0	$1,500,000
Bolinas Avenue and Sir Francis Drake Intersection Imps.	Ross	$274,000	$0	$274,000
San Rafael Various Streets and Roads Preservation	San Rafael	$457,000	$0	$457,000
San Rafael Transit Center Pedestrian Access Imps.	San Rafael	$1,900,000	$0	$1,900,000
Fairfax Parkade Circulation and Safety Imps.	**Fairfax**	$0	**$300,000**	**$300,000**
North Civic Center Bicycle and Pedestrian Imps	**Marin County**	$243,000	**$407,000**	**$650,000**
Donahue Street Preservation	**Marin County**	**$1,077,000**	**$0**	**$1,077,000**
DeLong Ave. and Ignacio Blvd Preservation	**Novato**	**$779,000**	**$0**	**$779,000**
MARIN COUNTY	**TOTAL:**	**$9,321,000**	**$707,000**	**$10,028,000**
NAPA COUNTY				
Specific projects TBD by Napa - NCTPA	TBD	$0	$0	$0
CMA Base Planning Activities - Napa	NCTPA	$2,673,000	$0	$2,673,000
Napa City North/South Bike Connection	Napa (City)	$300,000	$0	$300,000
California Avenue Roundabouts	Napa (City)	$2,463,000	$431,000	$2,894,000
Silverado Trail Phase "H" Preservation	**Napa County**	**$794,000**	**$0**	**$794,000**
NAPA COUNTY	**TOTAL:**	**$6,230,000**	**$431,000**	**$6,661,000**
SAN FRANCISCO COUNTY				
Specific projects TBD by San Francisco CMA		$0	$0	$0
CMA Base Planning Activities - San Francisco	SFCTA	$2,795,000	$0	$2,795,000
CMA Planning Activities Augmentation - San Francisco	SFCTA	$773,000	$0	$773,000
Longfellow Safe Routes to School	SF DPW	$670,307	$0	$670,307
ER Taylor Safe Routes to School	SF DPW	$519,631	$0	$519,631
Chinatown Broadway Complete Streets Phase IV	SF DPW	$3,410,536	$1,910,000	$5,320,536
Mansell Corridor Complete Streets	SFCTA	$1,762,239	$0	$1,762,239
Masonic Avenue Complete Streets	SFMTA	$10,227,539	$0	$10,227,539
Second Street Complete Streets	SFMTA	$10,515,748	$0	$10,515,748
Transbay Center Bicyle and Pedestrian Imps.	TJPA	$6,000,000	$0	$6,000,000
SAN FRANCISCO COUNTY	**TOTAL:**	**$36,674,000**	**$1,910,000**	**$38,584,000**
SAN MATEO COUNTY				
Specific projects TBD by San Mateo CMA		$0	$0	$0
CMA Base Planning Activities - San Mateo	SMCCAG	$2,673,000	$0	$2,673,000
CMA Planning Activities Augmentation - San Mateo	SMCCAG	$752,000	$0	$752,000
PDA Planning Augmentation - San Mateo	SMCCAG	$84,000	$0	$84,000
Atherton Various Streets and Roads Preservation	Atherton	$285,000	$0	$285,000
Belmont Various Streets and Roads Preservation	Belmont	$534,000	$0	$534,000
Ralston Road Pedestrian Improvements	Belmont	$250,000	$0	$250,000
Old County Road Bike and Pedestrian Imps	Belmont	$270,000	$0	$270,000
Carolan Avenue Complete Streets and Road Diet	Burlingame	$986,000	$0	$986,000
US 101 / Broadway Interchange Bike/Ped Imps	Caltrans	$3,613,000	$0	$3,613,000
Daly City Various Streets and Roads Preservation	Daly City	$562,000	$0	$562,000
John Daly Boulevard Bicycle and Pedestrian Imps.	Daly City	$1,000,000	$0	$1,000,000
Bay Road Bike and Ped Imps. Phase II and III	East Palo Alto	$1,000,000	$0	$1,000,000
Menlo Park Various Streets and Roads Preservation	Menlo Park	$427,000	$0	$427,000
Menlo Park Various Streets Bicycle and Pedestrian Imps	Menlo Park	$797,000	$0	$797,000
Millbrae Various Streets and Roads Prerservation	Millbrae	$445,000	$0	$445,000
San Pedro Creek Bridge Replacement Bike/Ped Imps	Pacifica	$1,141,000	$0	$1,141,000
Pacifica Linda Mar Blvd Preservation	Pacifica	$431,000	$0	$431,000

Attachment B-2

MTC Resolution No. 4035, Attachment B-2
Adopted: 05/17/12-C
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12/19/12-C 01/23/13-C
05/22/13-C 09/25/13-C
11/20/13-C 01/22/14-C
02/26/14-C

Cycle 2
OBAG Project List
FY 2012-13 through FY 2015-16
February 2014

OBAG Program Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other (RTIP, etc.)	Total Cycle 2
CYCLE 2 COUNTY OBAG PROGRAMMING		**$301,964,000**	**$18,036,000**	**$320,000,000**
Palmetto Avenue Streetscape	Pacifica	$1,000,000	$0	$1,000,000
Portola Valley Various Streets and Roads Preservation	Portola Valley	$224,000	$0	$224,000
Redwood City Various Streets and Roads Preservation	Redwood City	$548,000	$0	$548,000
Middlefield Road Bicyle and Pedestrian Imps	Redwood City	$1,752,000	$0	$1,752,000
San Bruno Avenue Pedestrian Improvements	San Bruno	$265,000	$0	$265,000
San Bruno Avenue Street Median Imps	San Bruno	$735,000	$0	$735,000
Crestview Drive Pavement Rehabilitation	San Carlos	$412,000	$0	$412,000
San Carlos Streetscape and Pedestrian Imps	San Carlos	$850,000	$0	$850,000
El Camino Real Ped Upgrades (Grand Boulevard Inititive)	San Carlos	$182,000	$0	$182,000
Mount Diablo Ave. Rehabilitation	San Mateo (City)	$270,000	$0	$270,000
North Central Pedestrian Imps	San Mateo (City)	$1,000,000	$0	$1,000,000
San Mateo Citywide Crosswalk Improvements	San Mateo (City)	$368,000	$0	$368,000
Semicircular Road Bicycle and Pedestrian Access Imps	San Mateo County	$320,000	$0	$320,000
South San Francisco Citywide Sidewalk Gap Closures	South San Francisco	$357,000	$0	$357,000
South San Francisco Grand Blvd Pedestrain Imps	South San Francisco	$1,000,000	$0	$1,000,000
South San Francisco Grand Blvd Complete Streets	South San Francisco	$0	$1,991,000	$1,991,000
SAN MATEO COUNTY	**TOTAL:**	**$24,533,000**	**$1,991,000**	**$26,524,000**
SANTA CLARA COUNTY				
Specific projects TBD by Santa Clara CMA		$0	$0	$0
CMA Base Planning Activities - Santa Clara	VTA	$4,246,000	$0	$4,246,000
CMA Planning Activities Augmentation - Santa Clara	VTA	$1,754,000	$0	$1,754,000
Hamilton Avenue Preservation	Campbell	$279,000	$0	$279,000
Campbell Avenue Bicycle and Pedestrain Imps.	Campbell	$3,718,000	$0	$3,718,000
Stevens Creek Boulevard Preservation	Cupertino	$735,000	$0	$735,000
Ronan Channel / Lions Creek Multi-Use Trail	Gilroy	$1,034,000	$0	$1,034,000
Eigleberry Street Preservation	Gilroy	$808,000	$0	$808,000
Los Altos Various Streets and Roads Preservation	Los Altos	$312,000	$0	$312,000
El Monte Road Preservation	Los Altos Hills	$186,000	$0	$186,000
Hillside Road Preservation	Los Gatos	$139,000	$0	$139,000
Milpitas Various Streets and Roads Preservation	Milpitas	$1,652,000	$0	$1,652,000
Monte Sereno Various Streets and Roads Preservation	Monte Sereno	$250,000	$0	$250,000
Monterey Road Preservation	Morgan Hill	$1,379,000	$0	$1,379,000
Mountain View Various Streets Preservation and Bike Lanes	Mountain View	$1,166,000	$0	$1,166,000
Palo Alto Various Streets and Roads Preservation	Palo Alto	$956,000	$0	$956,000
US 101/Adobe Creek Bicycle and Pedestrian Bridge	Palo Alto	$1,000,000	$3,000,000	$4,000,000
San Jose Citywide Bikeway Program	San Jose	$1,150,000	$0	$1,150,000
San Jose Citywide Pavement Management Program	San Jose	$11,531,000	$0	$11,531,000
San Jose Citywide SRTS Infrastructure Program	San Jose	$1,150,000	$0	$1,150,000
San Jose Citywide Smart Intersections Program	San Jose	$1,150,000	$0	$1,150,000
Downtown San Jose Bike Lanes and De-Couplet	San Jose	$1,500,000	$0	$1,500,000
East San Jose Bicycle/Pedestrian Transit Connection	San Jose	$2,000,000	$0	$2,000,000
Jackson Avenue Bicycle and Pedestrian Imps.	San Jose	$1,500,000	$0	$1,500,000
San Jose Pedestrian-Oriented Traffic Safety Signals	San Jose	$3,000,000	$0	$3,000,000
St. Johns Bikeway and Pedestiran Improvements	San Jose	$1,185,000	$0	$1,185,000
The Alameda "Beautiful Way" Grand Boulevard Phase 2	San Jose	$2,150,000	$1,350,000	$3,500,000
Santa Clara Various Streets and Roads Preservation	Santa Clara (City)	$1,891,000	$0	$1,891,000
San Tomas Expressway Box Culvert Rehabilitation	Santa Clara County	**$7,850,190**	$0	**$7,850,190**
Capitol Expressway Traffic ITS and Bike/Ped Imps.	Santa Clara County	**$8,234,810**	$0	**$8,234,810**
San Tomas Aquino Spur Multi-Use Trail Phase 2	Santa Clara County	$3,234,000	$0	$3,234,000
Saratoga Village Sidewalk Preservation	Saratoga	$162,000	$0	$162,000
Saratoga Ave-Prospect Rd Complete Streets	Saratoga	$4,205,000	$0	$4,205,000
Duane Avenue Preservation	Sunnyvale	$1,576,000	$0	$1,576,000
East & West Channel Multi-Use Trails	Sunnyvale	$3,440,000	$0	$3,440,000
Fair Oaks Avenue Bikeway and Streetscape	Sunnyvale	$956,000	$0	$956,000
Maude Avenue Bikeway and Streetscape	Sunnyvale	$695,000	$0	$695,000
Sunnyvale Safe Routes to School Ped Infrastructure Imps	Sunnyvale	$1,569,000	$0	$1,569,000
Sunnyvale-Saratoga Road Bike/Ped Safety Enhancements	Sunnyvale	$524,000	$0	$524,000

Attachment B-2

MTC Resolution No. 4035, Attachment B-2
Adopted: 05/17/12-C
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12/19/12-C 01/23/13-C
05/22/13-C 09/25/13-C
11/20/13-C 01/22/14-C
02/26/14-C

Cycle 2
OBAG Project List
FY 2012-13 through FY 2015-16
February 2014

OBAG Program Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other (RTIP, etc.)	Total Cycle 2
CYCLE 2 COUNTY OBAG PROGRAMMING		**$301,964,000**	**$18,036,000**	**$320,000,000**
Milpitas BART Station Montague Expwy Ped Overcrossing	VTA	$744,000	$0	$744,000
VTA/San Jose: Upper Penitencia Creek Multi-Use Trail	VTA	$1,514,000	$0	$1,514,000
Santa Clara Caltrain Station Bike/Ped Undercrossing	VTA	$1,251,000	$0	$1,251,000
SANTA CLARA COUNTY	**TOTAL:**	**$83,776,000**	**$4,350,000**	**$88,126,000**
SOLANO COUNTY				
Specific projects TBD by Solano CMA		$0	$0	$0
CMA Base Planning Activities - Solano	STA	$2,673,000	$0	$2,673,000
CMA Planning Activities Augmentation - Solano	STA	$333,000	$0	$333,000
West A Street Preservation	Dixon	$584,000	$0	$584,000
East 2nd Street Preservation	Benicia	$495,000	$0	$495,000
Benicia Safe Routes to Schools Infrastructure Imps	Benicia	$100,000	$0	$100,000
Dixon SRTS Infrastructure Imps	Dixon	$100,000	$0	$100,000
Beck Avenue Preservation	Fairfield	$1,424,000	$0	$1,424,000
SR 12 Pedestrian Crossing Improvements	Rio Vista	$100,000	$0	$100,000
Solano County - Various Streets and Roads Preservation	Solano County	$1,389,000	$0	$1,389,000
Vaca-Dixon Bike Route Phase 5	Solano County	$1,800,000	$0	$1,800,000
West B Street Bicycle/Pedestrian RxR Undercrossing	STA	$1,394,000	$1,141,000	$2,535,000
Local PDA Planning Augmentation	STA	$511,000	$0	$511,000
Eastern Solano / SNCI Rideshare Program	STA	$533,000	$0	$533,000
Solano Transit Ambassador Program	STA	$250,000	$0	$250,000
Suisun City SRTS Infrastructure Imps	Suisun City	$349,065	$0	$349,065
Walters Road/Pintail Drive Preservation	Suisun City	$356,000	$0	$356,000
Suisun/Fairfield Intercity Rail Station Access Imps	Suisun City	$415,000	$0	$415,000
Vacaville SRTS Infrastructure Imps	Vacaville	$303,207	$0	$303,207
Vacaville - Various Streets and Roads Preservation	Vacaville	$1,231,000	$0	$1,231,000
Allison Bicycle/Pedestrian Imps.	Vacaville	$450,000	$0	$450,000
Ulatis Creek Bicycle/Pedestrian Pathway and Streetscape	Vacaville	$500,000	$0	$500,000
Vallejo SRTS Infrastructure Imps	Vallejo	$247,728	$0	$247,728
Vallejo Downtown Streetscape - Phase 3	Vallejo	$2,090,000	$0	$2,090,000
SOLANO COUNTY	**TOTAL:**	**$17,628,000**	**$1,141,000**	**$18,769,000**
SONOMA COUNTY				
Specific projects TBD by Sonoma - SCTA		$0	$0	$0
CMA Base Planning Activities - Sonoma	SCTA	$2,673,000	$0	$2,673,000
Cloverdale Safe Routes to Schools Phase 2	Cloverdale	$250,000	$0	$250,000
Cotati Old Redwood Highway South Preservation (CS)	Cotati	$250,000	$0	$250,000
Healdsburg Various Streets and Roads Preservation	Healdsburg	$250,000	$0	$250,000
Petaluma Complete Streets	Petaluma	$1,848,000	$0	$1,848,000
Rohnert Park Various Streets Preservation	Rohnert Park	$1,103,000	$0	$1,103,000
Rohnert Park Bicyle and Pedestrian Improvements	Rohnert Park	$500,000	$0	$500,000
Downtown Santa Rosa Streetscape	Santa Rosa	$360,000	$353,000	$713,000
Santa Rosa Complete Streets Road Diet on Transit Corridors	Santa Rosa	$2,460,000	$0	$2,460,000
Sebastopol Various Streets and Roads Preservation	Sebastopol	$250,000	$0	$250,000
SMART Vehicle Purchase	SMART	$6,600,000	$0	$6,600,000
SMART Bicycle/Pedestrian Pathway	SMART	$0	$1,043,000	$1,043,000
Sonoma Various Streets and Roads Preservation	Sonoma (City)	$250,000	$0	$250,000
Sonoma County Various Streets and Roads Preservation	Sonoma County	$3,377,000	$0	$3,377,000
Windsor Road/Jaquar Lane Bicycle/Pedestrian Imps.	Windsor	$630,000	$0	$630,000
Conde Lane/Johnson Street Pedestrian Imps.	Windsor	$432,000	$0	$432,000
Windsor Rd/Bell Rd/Market St Pedestrian Imps.	Windsor	$410,000	$0	$410,000
	TOTAL:	**$21,643,000**	**$1,396,000**	**$23,039,000**

Attachment B-2

MTC Resolution No. 4035, Attachment B-2
Adopted: 05/17/12-C
Revised: 10/24/12-C
12/19/12-C 01/23/13-C
05/22/13-C 09/25/13-C
11/20/13-C 01/22/14-C
02/26/14-C

Cycle 2
OBAG Project List
FY 2012-13 through FY 2015-16
February 2014

OBAG Program Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other (RTIP, etc.)	Total Cycle 2
CYCLE 2 COUNTY OBAG PROGRAMMING		**$301,964,000**	**$18,036,000**	**$320,000,000**
Cycle 2 Total	**TOTAL:**	**$301,964,000**	**$18,036,000**	**$320,000,000**

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APPENDIX A – 28

Specific Funding Programs

MTC's Lifeline Transportation Third Cycle Program of Projects for FY 2011 through FY 2013

MTC Resolution No. 4053

Date: May 23, 2012
W.I.: 1311
Referred by: PAC
Revised: 06/27/12-C 07/25/12-C
12/19/12-C 04/24/13-C
10/23/13-C 12/18/13-C
02/26/14-C

ABSTRACT

Resolution No. 4053, Revised

This resolution adopts the FY2011 through FY2013 Program of Projects for MTC's Third Cycle Lifeline Transportation Program, funded with State Transit Assistance (STA), Proposition 1B Transit, Job Access Reverse Commute (JARC), and Surface Transportation Program (STP)/ Congestion Mitigation & Air Quality Improvement Program (CMAQ) funds.

The evaluation criteria established in Resolution 4033 were used by the local entities administering the program to develop the program of projects.

The following attachments are provided with this resolution:

Attachment A — Third Cycle Lifeline Transportation Program of Projects - FY2011-2013

This resolution was amended on June 27, 2012 to add approximately $34 million in programming for STA, STP/CMAQ, and JARC projects, and to add about $21 million in programming for Proposition 1B projects that were previously deferred.

This resolution was amended on July 25, 2012 to add approximately $0.8 million in programming for projects that were previously deferred.

This resolution was amended on December 19, 2012 to revise the San Francisco Municipal Transportation Agency's (SFMTA's) Proposition 1B program of projects, to program $2.6 million for San Francisco County STA projects, and to revise Santa Rosa CityBus's JARC project.

This resolution was amended on April 24, 2013 to program approximately $1.2 million in STP/CMAQ funds for a San Francisco County project; and to revise the funding sources of Tri Delta Transit's Route 200 and 201 project and Contra Costa County Employment and Human Services Department's Taxi Referral program, and of the City of Concord's Monument Shuttle project and the County Connection Preservation of Operations in Communities of Concern project.

This resolution was amended on October 23, 2013 to transfer JARC funds from Cycles of Change Neighborhood Bicycle project to San Leandro Transportation Management Organization LINKS Shuttle project, in the amount of $35,000, and to adjust previously awarded STA amounts to reflect actual FY2011-12 and FY2012-13 STA revenues.

This resolution was amended on December 18, 2013 to transfer Proposition 1B funds from AC Transit's Internal Text Messaging Signs project to the Contra Costa College Transit Center Improvements project, in the amount of $500,000.

This resolution was amended on February 26, 2014 to replace FY2010-11 JARC funds which lapsed, with STA or FY2013-14 FTA Section 5307 funds for several projects, with no changes to the total amount programmed to each project.

Further discussion of this action is contained in the Programming and Allocations Committee summary sheets dated May 9, 2012, June 13, 2012, July 11, 2012, December 12, 2012, April 10, 2013, October 9, 2013, December 11, 2013, and Febuary 12, 2014.

Date: May 23, 2012
W.I.: 1311
Referred by: PAC

RE: Third Cycle Lifeline Transportation Program of Projects – FY2011 – FY2013

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4053

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, MTC adopted Resolution 4033, which establishes program guidelines to be used for the funding and oversight of the Third Cycle of the Lifeline Transportation Program, Fiscal Years 2011-2013; and

WHEREAS, MTC used the process and criteria set forth in Attachment A of Resolution 4033 to fund a Program of Projects for the Third Cycle Lifeline Transportation Program with State Transit Assistance (STA), Proposition 1B Transit, Job Access Reverse Commute (JARC), and Surface Transportation Program (STP)/Congestion Mitigation & Air Quality Improvement Program (CMAQ) funds; and

WHEREAS, the Third Cycle Lifeline Transportation Program of Projects is set forth in Attachment A of this resolution, attached hereto and incorporated herein as though set forth at length; now therefore be it

RESOLVED, that MTC approves the Program of Projects for the Third Cycle Lifeline Transportation Program, as set forth in Attachment A of this resolution; and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required, to the Governor, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on May 23, 2012.

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[3]	STP/CMAQ		
Alameda County									
1	Bus Stop Repair and Upgrade	Wheels (LAVTA)	Repair and upgrade existing bus stops, including shelters, seating, lighting, curb and sidewalk, etc.	240,910				**240,910**	
2	Electronic Bike Lockers at Lake Merritt BART Station	BART	Furnish five (5) metal perforated electronic bike pods (total 20 bike locker spaces) at Lake Merritt Station.	52,000				**52,000**	
3	Wayfinding/Real-Time Arrival at BART Stations	BART	Provide wayfinding and signage from concourse to platform with backlit signs for improved visibility and patron safety; real-time train arrival; wayfinding and signage at street level with secondary language; AC Transit service and destination maps; and exit directories. Projects at Lake Merritt, Hayward, Downtown Berkeley, South Hayward, Coliseum, West Oakland, San Leandro, and Bay Fair BART stations.	3,545,360				**3,545,360**	(2)
4	East Bay Bus Rapid Transit Terminus/ San Leandro BART Improvements	AC Transit	AC Transit, in coordination with BART and the City of San Leandro, is proposing to expand the transit center at the San Leandro BART station to accommodate the East Bay Bus Rapid Transit Project (BRT) terminus, other AC Transit routes, and other transit services. This project will make street and BART station geometric improvements, add bus staging, and real-time signage at the San Leandro BART Station.	2,703,487			1,225,539	**3,929,026**	(2)
5	Update Community-Based Transportation Plans	Alameda CTC	Five CBTPs have been completed in Alameda County to date, between the years of 2004 and 2009. Priority for updates will be for CBTPs completed prior to 2008. It is estimated the approximately three to four CBTP updates will be funded.				475,000	**475,000**	
6	Neighborhood Bicycle Centers/"Bike-go-Round" - 2012 Operations	Cycles of Change	Neighborhood Bicycle Centers / "Bike-go-Round" provides free bikes and safety training to referred low-income adults for their work commute. An extension of the Lifeline Cycle 2 funded program for calendar year 2012.			10,000		**10,000**	(14)
7	A Quicker, Safer Trip to the Library to Promote Literacy	Oakland Public Library/City of Oakland (via BART)	"A Quicker, Safer Trip to the Library to Promote Literacy" will transport preschool and kindergarten students, teachers and interested parents by bus to the West Oakland Library for story time and to check out library books. Program will transport approximately seven classes per week to the library by bus. Request is for three years of program operations.		185,000			**185,000**	(1)
8	Neighborhood Bicycle Centers/"Bike-go-Round"	Cycles of Change	Bike-go-Round program offers bicycle education and distribution services for low-income Oakland Residents to use bicycles for work commuting. The funding requested is for three years of program operations which would provide training for 1,500 participants and distribute 600 bikes over a three-year period.			360,000		**360,000**	
9	Preservation of Existing Services in Communities of Concern	AC Transit	The Lifeline funds will be utilized to restructure and/or continue service to several key communities of concern in the Southern, Central and Northern portions of Alameda County. Request is for three years of service.		4,316,118	525,429		**4,841,547**	(1)(16)
10	Hathaway Avenue Transit Access Improvements	Alameda County Public Works	Cherryland is a low-income community with many transit-dependent residents and the lack of sidewalks limits access to AC Transit. The Hathaway Avenue Project includes curb, gutter, ADA pedestrian ramps, landscape, and sidewalks along Hathaway Avenue between Rondale Court and Hayward City limits.				430,000	**430,000**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[5]	STP/CMAQ		
11	BART Transbay Owl Express Bus Service	BART	This project will provide express owl bus service departing from the Market Street corridor in downtown San Francisco from 12:30am - 1:45am to key BART stations along the Yellow (Concord) and Green (Fremont) BART lines on Friday and Saturday nights after the BART system has closed. This is a multicounty request. An additional $200K is being provided by Contra Costa County. This is a one-year pilot project.		297,800			**297,800**	(1)(7)
12	Oakland Broadway Shuttle	City of Oakland	The Broadway Shuttle is a free downtown shuttle linking major transit stations such as the AC Transit 20th St Hub, BART, Amtrak Capitol Corridor, and the Alameda/Oakland/SF Ferry. The route is on Broadway between Embarcadero and 27th St from 7am-7pm Mon-Th; 7am-1am Fri; and 6pm-1am Sat. The Lifeline request also incudes expanding weekday evening service until 10pm Mon-Thurs.		723,000	~~723000~~		**723,000**	(16)
13	WHEELS Route 14 Service Provision	LAVTA	The WHEELS Route 14 provides service to residents and employees of the central district of Livermore by connecting low-income communities to employment opportunities and regional transportation services via the Livermore Transit Center. Funding request is for Rte 14 operations.		366,000			**366,000**	(1)
14	San Leandro "LINKS" Shuttle	San Leandro Transportation Mgmt Organization (SLTMO)/San Leandro	LINKS is a free shuttle service from the San Leandro BART station to businesses in West San Leandro. LINKS Shuttle runs two 32 passenger vehicles during commute hours between the San Leandro BART station and hundreds of employers in West San Leandro. Service is jointly managed by the SLTMO and the City of San Leandro. Request is for three years of service.		310,089	60,911		**371,000**	(14)(16)
15	Estuary Crossing Shuttle Service Extension	City of Alameda Public Works	The project would extend the existing Estuary Crossing Shuttle service an additional three years from August 2013 to August 2016. The proposed project includes multi-lingual outreach/marketing and a new bus stop at Willie Stargell Avenue and Fifth Street, which is adjacent to low-income public housing. Request is for three years of service.			187,957		**187,957**	
16	Operation Support for Route 2	Union City Transit, City of Union City	This request is for 1 year of Route 2 operations. The route serves Union City's low income areas and connects UC Intermodal Station with the Decoto neighborhood as well as job centers along Whipple Rd corridor.		115,666			**115,666**	(1)
			County Bid Target	**N/A***	**5,280,584**	**2,177,386**	**2,130,539**		
			Proposed Programming	**6,541,757**	**6,313,673**	**1,144,297**	**2,130,539**	**16,130,266**	
			Unprogrammed Balance	**N/A***	**(1,033,089)**	**1,033,089**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[3]	STP/CMAQ		
Contra Costa County									
17	Richmond BART Station Eastside Access Improvements	BART	Development of eastside of Richmond BART station including raising Nevin Walkway, adding an elevator, providing customer amenities, new bicycle and pedestrian pathways	1,500,000				**1,500,000**	
18	Pittsburg/Bay Point BART Station Wayfinding	BART	Comprehensive wayfinding program within the Pittsburg/Bay Point station including overhead signs, transit information displays, local area maps, and real time BART and bus information.	400,000				**400,000**	(2)
19	Concord BART Station Intermodal Improvements	BART	Upgrade to the Concord BART Station intermodal including additional lighting. This project may also include upgraded lighting within the existing garage.	400,000				**400,000**	
20	Bus shelters, Bus Pads, and Real Time Departure information	WestCAT	Purchase bus shelters, Real Time departure signs and solar equipment to power signs, and install at key locations throughout the WestCAT service area, including the Rodeo, Crockett, Hercules, Pinole, and Moltavin Manor communities.	147,335				**147,335**	(2)
21	Replacement Buses	County Connection	Four (4) 40-foot diesel buses for use in service on Lifeline routes #14, 11, 314, 16, 18, 19, 308. The routes serve the Concord Monument Corridor and North Martinez.	484,534				**484,534**	
22	Contra Costa College Transit Center Improvements	AC Transit	Pavement, shelter improvements, real-time displays and amenities upgrades at Contra Costa College Transit Center.	660,000				**660,000**	(15)
23	Park & Ride Facilty	Tri Delta Transit	Design for new construction of recently purchased parcel of land in NW Antioch for use as a Park & Ride lot.	327,019				**327,019**	
24	Monument Neighborhood Shuttle	City of Concord	The shuttle will emphasize connections to job training, jobs and BART. It will also provide improved access to other Monument Corridor agencies and facilities that provide family support services to Monument residents. The shuttle service will be operated by a small business through the Monument Community Partnership, in partnership with the Michael Chavez Center for Economic Opportunity and the City of Concord, as part of a community service, employment opportunity, and training program.		161,648	~~161,648~~		**161,648**	(12)(16)
25	Preserve Operations in Community of Concern	County Connection	Preserve frequency and coverage on CCCTA routes #14, 11, 16, 18, 19, 314 and 31 6 which serve the Monument Corridor and downtown Martinez. These routes connect residents in two communities of concern to medical services, jobs, and employment.		707,302	150,055		**857,357**	(1)(12)
26	Route 200 and 201	Tri Delta Transit	Provide service between Bay Point and central Concord and Martinez. Input from the Bay Point community led to the development of route 201 and changes to Route 200 to better serve the community, including an estimated 1,600 high school students residing in Bay Point who attended Mt. Diablo High School in Concord. Both of these routes are also lifeline connections for non-students, providing service between Bay Point and important health care and social service destinations.		757,775	126,353		**884,128**	(1)(11)
27	KEY's Auto Loan Program	Contra Costa County Employment and Human Services Dept.	Provide CalWORKS participants who have been employed full time for three months with low interest loans to purchase vehicles through a bank partner. The proposed grant funds will allow EHSD to increase the maximum loan amount from $4,000 to $5,500.			129,500		**129,500**	
28	Canal Road Bike/Ped Improvements	Contra Costa County Public Works	Construct approximately 2,000 feet of a class II standard bike lane in both directions and an ADA accessible pedestrian path on the north side of Canal Road that will eliminate the existing gap in sidewalk from Emerald Cove Drive to Bel Air Elementary School.				1,000,000	**1,000,000**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[5]	STP/CMAQ		
29	Preserve Operations in Community of Concern	AC Transit	Maintain existing services on the following routes that serve low income areas: 71, 76, 376, 800. All of the routes link low-income riders with employment centers, schools, retail, and services. The routes prioritized for funding are vulnerable to service cuts as a result of the projected budget shortfalls over the next three years.		984,087	299,353		**1,283,440**	(1)
30	Transbay Owl Express	BART	This project will provide express owl bus service departing from the Market Street corridor in downtown San Francisco from 12:30am - 1:45am to key BART stations along the Yellow (Concord) and Green (Fremont) BART lines on Friday and Saturday nights after the BART system has closed. This is a multicounty request. An additional $298K is being provided by Alameda County. This is a one-year pilot project.		198,311			**198,311**	(1)(7)
31	C3 Operations	WestCAT	The C3 service operates between Hercules Transit Center and Contra Costa College in San Pablo. The route provides a link to the college for residents of the Bayo Vista community in Rodeo. The route also provides service to a number of work places along San Pablo Avenue and a direct link to the AC Transit 72/72 Rapid, which connects to job centers and regional medical facilities along San Pablo Avenue into Downtown Oakland.		201,325	75,007		**276,332**	(1)
32	Taxi Referral Program	Contra Costa County Employment and Human Services Dept. (via Tri Delta)	Provide taxi vouchers to people enrolled in CalWORKS as a way to provide transportation to jobs and job training. The service is a bridge until participants have worked long enough to qualify for the KEYS loan program.		126,353	147,832		**274,185**	(1)(11)(16)
33	Easy Go	City of Richmond	Improve mobility of low-income residents by providing car sharing, Bicycle program and Kids Cab program in South Richmond and North Richmond communities of concern. Utilize grant funds to expand Easy Go transportation resources to low-income residents of North and South Richmond, aimed at increasing mobility access to jobs and human and health services.			140,000	203,291	**343,291**	(4)
			County Bid Target	**N/A***	**2,975,153**	**1,229,748**	**1,203,291**		
			Proposed Programming	**3,918,888**	**3,136,801**	**1,068,100**	**1,203,291**	**9,327,080**	
			Unprogrammed Balance	**N/A***	**(161,648)**	**161,648**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[5]	STP/CMAQ		
Marin County									
34	Novato Bus Stop Improvement Project	Marin Transit	Install transit amenities at targeted local bus stops that include bus shelters, bus stop seating, lighting, and bus operational improvements. The first prioritized project is the Downtown Novato Transit Center located at Redwood Boulevard and Grant Avenue.	985,000				985,000	
35	Advanced Communications and Information System	GGBHTD	Systemwide improvements to GGBHTD's communication system, including voice and data radio communications; basic ITS components including Computer Aided Dispatch/Automatic Vehicle Location (CAD/AVL); real-time passenger information; dynamic message signs at selected transit centers, bus stops and other locations; on-board vehicle equipment.	492,729			233,728	726,457	(2)
36	Canal Neighborhood Transit Service	Marin Transit (via GGBHTD)	Transit service to the low income and minority population in the Canal Area of San Rafael on Routes 35 and 36.		413,894			413,894	(1)
37	Route 257 Shuttle	Marin Transit	Support Route 257 shuttle service to connect welfare and other low-income individuals to jobs and employment related services. Route 257 operates between Central San Rafael, employment and retail centers, Dominican University and the Marin Employment Connection site at the Health and Human Services campus.			238,867		238,867	
38	San Rafael School Shuttle	San Rafael Schools (via GGBHTD)	Enable Canal parents to participate in their children's education at San Pedro School by providing shuttle service and emergency taxi vouchers for low-income residents of the San Rafael Canal community (or nearby vicinity) to attend critical academic meetings and other school activities.		158,268			158,268	(1)
			County Bid Target	**N/A***	**572,162**	**238,867**	**233,728**		
			Proposed Programming	**1,477,729**	**572,162**	**238,867**	**233,728**	**2,522,486**	
			Unprogrammed Balance	**N/A***	**-**	**-**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[3]	STP/CMAQ		
Napa County									
39	Paratransit Vehicles	NCTPA	Purchase three (3) Vine Go paratransit vans to allow more appointments to be made and increase the efficiency of paratransit services. The project will give more mobility options to low-income residents with disabilities.	192,000				**192,000**	
40	Replacement Buses for American Canyon	NCTPA	Purchase two (2) replacement buses for American Canyon. New buses will improve the efficiency of the system and improve on-time performance.	192,000				**192,000**	
41	Napa Valley College Northbound Shelter	NCTPA	Create a shelter to serve VINE routes heading northbound along James Diemer Drive. Currently northbound and southbound buses use the same stop located on the west side of the street. The northbound stop will create more convenient loading and offloading of passengers, an easier route to negotiate for the drivers, and improve the on-time performance of the VINE routes serving the college.	213,647				**213,647**	
42	Operating Assistance for new VINE Routes	NCTPA	Improve and expand service within the City of Napa. The new routes will address numerous issues listed in the community-based transportation plan, specifically improving travel times, connectivity between routes, frequency of buses, on-time performance, and a pulse system.		485,548			**485,548**	(1)
43	Community-Based Transportation Plan Update	NCTPA	Update Napa's community-based transportation plan.				80,000	**80,000**	
44	ADA Bus Stop Upgrades	NCTPA	ADA and accessibility improvements at bus stops that are used on a frequent basis.				116,794	**116,794**	
			County Bid Target	**N/A***	**485,548**	**-**	**196,794**		
			Proposed Programming	**597,647**	**485,548**	**-**	**196,794**	**1,279,989**	
			Unprogrammed Balance	**N/A***	**-**	**-**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[4]	STP/CMAQ		
San Francisco County									
45	Mission Mobility Maximization	SFMTA	Enhancements to complement the transit service in the Mission Corridor (Routes 14, 14L, 14X, 49). The project includes colorizing existing dedicated transit lanes, transit signal priority, information panel and transit arrival prediction signs (NextMuni), vehicle branding, and enhanced stop identification. To the extent that funding is available, the project will also include Transit Only Lane Enforcement (TOLE) Cameras.	5,056,891				**5,056,891**	(2)(3)(9)
46	8X Mobility Maximization	SFMTA	Enhancements along the 8X Route to create and identify a premier transit service which will better serve current ridership, alleviate latent demand and accommodate greater demands in the future. This grant will focus on the southern portion of the 8X from City College to Silver and San Bruno, and the northern portion along Bryant, 3rd Street and Kearny. (The southbound segment in the downtown area will be addressed as part of a separate effort after the Central Subway Construction is completed.) The project includes colorizing existing dedicated transit lanes, transit signal priority, information panel and transit arrival prediction signs (NextMuni), vehicle branding, enhanced stop identification, and Transit Only Lane Enforcement Cameras.	5,285,000				**5,285,000**	(2)(3)(9)
47	Mission Bay Loop	SFMTA	Install a single-track transit loop on Third Street at 18th and 19th Streets to allow the T-Third line to turnaround mid-route and thus enable a significant increase in transit frequencies between Mission Bay, South of Market, and downtown neighborhoods, as well as Chinatown upon completion of the Central Subway project.	1,381,539				**1,381,539**	(9)
48	Station Wayfinding and Bicycle Parking at San Francisco BART Stations	BART	Wayfinding improvements, including installation of signage and real time information, at 16th Street, 24th Street, and Balboa Park BART stations. Purchase & installation of bicycle lockers at Balboa Park and Glen Park BART Stations. Addition of between 150-175 spaces in a new Bike Station at the Civic Center BART Station.	2,143,650				**2,143,650**	(2)
49	Continuation of Bus Restoration Project	SFMTA	Continue for two years the expanded service levels and late-night service provided for six bus routes that serve low income communities: 19-Polk, 21-Hayes, 27-Bryant, 29-Sunset, 44-O'Shaughnessy, and 54-Felton.		957,620	1,200,942		**2,158,562**	(1)(10)
50	Route 108 Treasure Island Enhanced Service	SFMTA	Continue providing more frequent peak period and all night service on Route 108-Treasure Island, the only 24/7 transit service to the island, for two years.		800,000			**800,000**	(1)(10)
51	Route 29 Reliability Improvement	SFMTA	Continue providing more frequent service on 29-Sunset route to increase reliability for two years.		800,000			**800,000**	(1)(10)
52	Free Muni for Low Income Youth Pilot Program	SFMTA	The Free Muni for Low Income Youth pilot program is a 22-month program to provide a free Muni pass for low income youth at an estimated cost of $9.9 million.		400,000			**400,000**	(1)
53	Eddy and Ellis Traffic Calming Improvements	SFMTA	Implement pedestrian and traffic calming improvements along Eddy and Ellis Streets as proposed through the Tenderloin-Little Saigon Neighborhood Transportation Plan, including: 1) the conversion of Ellis and Eddy Streets from one-way streets to two-way streets, 2) full signal upgrades at the intersections of Eddy/Taylor and Ellis/Taylor, including pedestrian countdown signals, and 3) bulbouts at Eddy/Leavenworth and Ellis/Taylor.				1,175,105		(13)
			County Bid Target	**N/A***	**2,957,620**	**1,200,942**	**1,175,105**		
			Proposed Programming	**13,867,080**	**2,957,620**	**1,200,942**	**1,175,105**	**19,200,747**	
			Unprogrammed Balance	**N/A***	**-**	**-**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[4]	JARC[5]	STP/CMAQ		
San Mateo County									
54	Replacement Fixed Route Vehicles	SamTrans	Replace a portion of the 1998 40-foot Gillig Bus Fleet. The 1998 Gillig fixed route buses operate on all routes throughout the urbanized portion of San Mateo County.	2,272,697				**2,272,697**	
55	Electronic Bicycle Lockers at San Bruno BART Station	BART	Purchase and install five (5) quads of electronic bicycle lockers at the San Bruno BART station.	32,000				**32,000**	
56	Fixed Route 17	SamTrans	Continue funding the operation of existing Lifeline funded expanded fixed route bus service for SamTrans Route 17 on the Coastside of San Mateo County. The expanded service provides service to Montara, additional peak commute period service, Sunday service, and later evening hours 7 days a week.		407,048			**407,048**	(1)
57	Ways to Work Auto Loans for purchase or repair of vehicles	Peninsula Family Services	Continue the Ways to Work Family Loan Program in San Mateo County. Ways to Work provides affordable loans for the purchase or repair of a car for qualified individuals needing reliable transportation in order to maintain employment, attend training, and care for a dependent child or older relative.			375,000		**375,000**	
58	Middlefield/Woodside Rd (SR 84) Intersection Improvements	City of Redwood City	Increase access, safety and mobility in the North Fair Oaks community of concern by constructing crosswalks, sidewalks, accessible curb ramps, pedestrian countdown signals, bicycle signal detection, street lighting, etc. at the Middlefield Road and Woodside Road (State Route 84) intersection to allow low income, minority residents to walk and bike across Woodside Road.				339,924	**339,924**	
59	North Central Ped Infrastructure Improvements	City of San Mateo	Improve the mobility of the low-income residents of the North Central neighborhood with the initiation of the $1.5 Million North Central Pedestrian Infrastructure Improvement Program – Phase I. Phase I includes pedestrian infrastructure improvements south of Cypress Avenue in North Central.				339,924	**339,924**	(1)(5)
60	Coast Service On-Demand	SamTrans	Continue funding the operation of SamCoast, a general public demand response system on the Coastside of San Mateo County centered in Pescadero.		300,000			**300,000**	(1)
61	Bus Passes and Tickets for Low Income Families	San Mateo Human Services Agency (via SamTrans local agency fund exchange)	This project will provide bus tokens, bus tickets and bus passes for low-income families, and individuals participating in Self-Sufficiency and Family Strengthening activities such as: employment seeking, employment workshops, skill based training programs, emergency and health related needs, parenting skills workshops, anger management classes, and family counseling.		300,000			**300,000**	(1)
62	Community Learning Center Public Transportation Workshops	City of South San Francisco (via SamTrans)	Develop curriculum and present public transportation workshops to low-income residents. Create instructional, outreach, evaluation and publicity materials that can be used to serve low-income residents throughout the county. Technology resources such as 511.org will be used by participants.		210,000			**210,000**	(1)

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[5]	STP/CMAQ		
63	Midday Shuttle Belle Haven Community and Other Communities	City of Menlo Park (via SamTrans)	The Menlo Park Midday Shuttle operates along a fixed route throughout the City, including the City's redevelopment area, which includes the low-income Belle Haven community. The shuttle provides access to essential destinations including the City's downtown civic center, medical offices, community centers, shopping centers, Caltrain station, and Stanford Medical Center.		240,820			240,820	(1)(5)
64	North Fair Oaks On-Demand Shuttle	City of Redwood City (via SamTrans)	Provide shuttle transportation to basic services such as shopping and medical facilities in the North Fair Oaks community of concern during non-commute hours.		222,927			222,927	(1)(5)
65	Weekday Community Shuttle	City of East Palo Alto	Continue a weekday community shuttle, which provides residents access to job training, academic enrichment, shopping and transportation. The Weekday Community Shuttle connects East Palo Alto residents to Caltrain, and has the largest ridership of all the East Palo Alto shuttles.			123,368		123,368	
66	Weekday Evening Shuttle	City of East Palo Alto	Continue a weekday evening shuttle, which provides residents access to job training, academic enrichment, shopping and transportation. The Weekday Evening Shuttle provides weekday evening services to commuters.			76,871		76,871	
67	Taxi Vouchers for Low Income Program Participants	San Mateo Human Services Agency	Provide emergency taxi vouchers for low-income youth, families, and individuals in need of emergency transportation assistance where a bus pass or ticket cannot provide the transportation in a timely or appropriate manner.			60,000		60,000	
68	Weekend Shuttle	City of East Palo Alto	Continue a weekend shuttle, which provides residents access to job training, academic enrichment, shopping and transportation. The Weekend Shuttle connects EPA residents to Caltrain on the weekend.			59,557		59,557	
			County Bid Target	N/A*	1,680,795	694,796	679,848		
			Proposed Programming	2,304,697	1,680,795	694,796	679,848	5,360,136	
			Unprogrammed Balance	N/A*	-	-	-	-	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[3]	STP/CMAQ		
Santa Clara County									
69	Alum Rock Rapid Transit Bus Purchase	VTA	Purchase hybrid diesel-electric express transit buses to operate on the new Santa Clara Street/Alum Rock Avenue Rapid Transit line. The project will provide over 2 million passenger trips per year to low income riders.	9,186,049				**9,186,049**	(3)
70	Family Transportation Services	Outreach & Escort, Inc.	Provide a range of no-cost transportation alternatives for CalWORKs participants, veterans, older adults and other low-income individuals to assist them in finding and retaining employment. Services include: door-to-door rides to work, training, school and/or support services; support of public transit use; and vehicle repairs.		941,829	1,236,573		**2,178,402**	(1)(16)
71	Foster Grandparent/Senior Companion	Seniors Council	Provide very low-income foster grandparent and senior companions--who serve as drivers, mentors, tutors, companions, and care givers—with financial reimbursement for work-related mileage. Place the foster grandparents/senior companions serving their communities in work sites as close as possible to their home to mitigate work transportation needs.			83,287		**83,287**	
72	Senior Transportation & Resources	Outreach & Escort, Inc.	Provide door-to-door transportation and other mobility alternatives that prevent isolation and enable the County's older adults to maintain their necessary schedules and appointments with a sense of independence. A major component of this project is the cooperative working relationships with senior centers that resulted in a successful shared ride program.		3,075,908			**3,075,908**	(1)
73	Together We Ride	Outreach & Escort, Inc.	Provide transportation assistance to the homeless, veterans, emancipated foster youth, refugees, and persons with disabilities and other vulnerable populations in the county's Communities of Concern. The program offers demand-response (dial-a-ride) services not available by fixed route public transit; shared rides/carpools; group trips. Services are provided at no-cost to low-income riders every day of the year.		1,711,015			**1,711,015**	(1)
74	East San Jose Pedestrian Improvements	Santa Clara County Roads and Airports	Construct sidewalk improvements and enhance ADA access along nine county-maintained roads in Alum Rock neighborhoods. The pedestrian enhancements will improve access to transit stops along White Road, Alum Rock Avenue (State Route 130), and McKee Road/Toyon Avenue.				2,127,977	**2,127,977**	
			County Bid Target	**N/A***	**5,266,923**	**1,781,689**	**2,127,977**		
			Proposed Programming	**9,186,049**	**5,728,752**	**1,319,860**	**2,127,977**	**18,362,638**	
			Unprogrammed Balance	**N/A***	**(461,829)**	**461,829**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				IB	STA[1]	JARC[3]	STP/CMAQ		
Solano County									
75	Local Bus Replacement	Fairfield and Suisun Transit	Replace six (6) local diesel buses with hybrid diesel electric fuel buses.	547,328			481,368	1,028,696	
76	Intercity Bus Replacement	SolTrans	Replace three (3) intercity diesel buses with hybrid diesel electric fuel buses.	1,000,000				1,000,000	
77	Sustaining Route 1	SolTrans	Route 1 serves a large low income population centered around downtown Vallejo and the north/south corridor along Sonoma Blvd. Route 1 includes Vallejo Middle and Senior High schools, three key shopping centers and Curtola Park and Ride. This funding would aid in retaining service.		500,000			500,000	(1)
78	Sustaining Route 85	SolTrans	Route 85 provides local service within the City of Vallejo on a low income corridor. This intercity route provides critical transportation between Vallejo and Fairfield to reach employment, medical services and Solano Community College. This funding will be aid in sustaining service.		250,000			250,000	(1)
79	Route 30 Saturday Service	Fairfield and Suisun Transit	Route 30 service on Saturday provide connection between Fairfield, Vacaville, Dixon, and the UCDavis. In Dixon's CBTP, lack of Saturday Service was one of the major transportation gaps.		120,000			120,000	(1)
80	Sustaining Span of Service	SolTrans	To meet ongoing budget pressures and to attain a sustainable service, service is proposed to start later in the morning and end earlier in the evening. This funding would aid in retaining the current span of service.		419,884			419,884	(1)
81	Accessible Paths to Transit	Vacaville City Coach	The Vacaville CBTP documented the need for more accessible curb ramps and/or access improvements near transit routes. This funding will aid in constructing approximately 16 curb ramps.				40,000	40,000	
			County Bid Target	**1,547,328**	**1,289,884**	**-**	**521,368**		
			Proposed Programming	**1,547,328**	**1,289,884**	**-**	**521,368**	**3,358,580**	
			Unprogrammed Balance	**-**	**-**	**-**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[5]	STP/CMAQ		
Sonoma County									
82	Bus Stop Improvements	Petaluma Transit	Purchase and install up to ten (10) bus shelters at locations in Petaluma that predominantly serve low-income riders. The shelters will support Petaluma Transit routes 2, 11, 24.	76,734				**76,734**	
83	Vehicle Replacements, Security Cameras, Lighting Improvements at Southside Transfer Center	Santa Rosa CityBus	Replace up to five (5) fixed route buses serving Lifeline routes and six (6) paratransit vehicles serving low-income seniors and persons with disabilities; Replace recording units for onboard security cameras; Lighting improvements at the CityBus Southside Transfer Center in Roseland.	1,268,194				**1,268,194**	
84	Bus Stop Improvements	Sonoma County Transit	Make enhancements at various bus stops located throughout the Sonoma County Transit and Healdsburg Transit service areas, particularly those in the CBTP areas of Healdsburg, Lower Russian River, and The Springs. Enhancements include installation of new and/or rehabilitation/replacement of existing shelters, benches, bicycle racks, trash receptacles, and the illumination of bus stops and shelters.	200,000				**200,000**	
85	Vehicle Purchase	Sonoma County Transit	Purchase one (1) 40-foot CNG transit coach.	393,864				**393,864**	
86	Enhanced Automatic Vehicle Location (AVL) and Real-Time Transit Information Program	Santa Rosa CityBus	Implement an Automatic Vehicle Location and Real-time Transit Information Program serving patrons of Santa Rosa CityBus. The goals of the project are to improve service reliability and on-time performance, make real-time transit information widely available in a range of formats, enhance transit security, and improve planning and scheduling.						(2)(6)(8)
87	Roseland Lifeline Operations	Santa Rosa CityBus	Support continued operation of improved transit services in the Roseland community, including service on routes 9, 12, and 19.		537,614	405,987		**943,601**	(1)(8)(16)
88	Added Capacity on Lifeline Routes 20, 30 & 60	Sonoma County Transit	Support Sonoma County Transit's designated Lifeline routes 20, 30, and 60, including adding capacity during peak commute times.		1,199,831			**1,199,831**	(1)
89	Healdsburg Pedestrian Safety & Access Improvements	City of Healdsburg	Construct supportive infrastructure to enhance pedestrian mobility and safety between low income areas and various activity centers. This project includes access and safety improvements linking the High School, Junior High School and Sonoma County Healdsburg Library; and installation of a high-intensity activated crosswalk (HAWK) signal proposed at the main entrance to the Healdsburg High School at Powell Ave				202,937	**202,937**	
90	Central Sonoma Valley Trail	Sonoma County Regional Parks	Construct 0.42 mile of Class I trail in Central Sonoma Valley, creating a safe route parallel to busy Highway 12 for pedestrians and bicyclists. This project will connect Flowery Elementary School, Larson Park, Maxwell Farms Regional Park, and the Boys and Girls Club.				500,000	**500,000**	
			County Bid Target	**1,938,792**	**1,737,445**	**405,987**	**702,937**		
			Proposed Programming	**1,938,792**	**1,737,445**	**405,987**	**702,937**	**4,785,161**	
			Unprogrammed Balance	**-**	**-**	**-**	**-**	**-**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				IB	STA[4]	JARC[5]	STP/CMAQ		
Multi-County & Regional Projects									
91	Bus shelters at BART Stations	BART	Bus shelters at various BART stations in communities of concern for ADA patrons.	100,000				100,000	
92	Internal Text Messaging Signs	AC Transit	Purchase and install text-based LED signs on the balance of AC Transit's revenue vehicle fleet. The internal text messaging signs provide bus stop and route information to assist hearing impaired riders.	-				-	(2) (15)
93	Diesel-Electric Hybrid Articulated Buses for Rapid Service	AC Transit	Purchase thirty-nine (39) 60-foot diesel-electric hybrid articulated buses for rapid service.	5,040,000				5,040,000	
94	Means-Based Discount Project	MTC	Development and implementation of a regional means-based discount. In Phase 1, MTC will develop the regional concept, including identifying who is eligible, costs, funding, relationship to other discounts, etc. MTC will convene a regional Technical Advisory Committee to assist with scope development and project oversight. Depending on the results of Phase 1, the remaining funds from the $1 million set-aside will be used for implementation activities.	-	300,000	-	-	300,000	(1)(16)
95	Administration & Technical Assistance	MTC	Consistent with federal JARC guidance, five percent of the region's FY11, FY12 and FY13 JARC apportionments has been set aside to fund administration and technical assistance for three years.		89,013	317,798		406,811	(16)
			Multi-County & Regional Target	**N/A***	**1,000,000**	**406,811**	**-**		
			Proposed Programming	**5,140,000**	**389,013**	**317,798**	**-**	**5,846,811**	
			Unprogrammed Balance	**N/A***	**610,987**	**89,013**	**-**	**700,000**	

Third Cycle Lifeline Program of Projects (FY 2011-2013)

#	Project	Project Sponsor	Project Description	Fund Source				TOTAL Lifeline Funding	Notes
				1B	STA[1]	JARC[5]	STP/CMAQ		
Regional Grand Totals									
			Lifeline Program Revenue Sources	46,519,967	23,246,114	8,136,226	8,971,587	86,873,894	
			Total Proposed Programming	46,519,967	24,291,693	6,390,647	8,971,587	86,173,894	
			Unprogrammed Balance	-	(1,045,579)	1,745,579	-	700,000	

* In most cases, Proposition 1B Transit funds were allocated directly to transit operators by MTC. Upon concurrence from the applicable CMA, transit operators programmed funds to any capital project that was consistent with the Lifeline Transportation Program and goals, and was eligible for the Proposition 1B funds. In Solano and Sonoma Counties, the CMA programmed the Proposition 1B funds to transit operator projects.

Notes

(1) On 10/23/13, the STA amounts were updated to reflect FY2012 & FY2013 actual revenues, including FY2012 and FY2013 interest. The County Lifeline Program Administrators (LPAs) had originally programmed 95 percent of their county's estimated two-year STA amount, and then developed a contingency plan for the remaining five percent should it be available. The actual two-year revenues plus interest were sufficient to fully fund the 95 percent program, and to provide partial funding to the contingency projects that had been previously identified by the County LPAs.

(2) Comply with MTC Resolution 3866, Revised (Transit Coordination Implementation Plan) where applicable, including but not limited to Clipper, 511, real-time transit information and wayfinding signage. For wayfinding signage, project sponsors are expected to follow the regional sign standard developed by MTC, with the exception of wayfinding kiosks and transit information displays which are optional (note that MTC is unable to support maintenance of these signs if installed). For real-time transit information displays at multi-agency transfer stations/stops, project sponsors must work with MTC to determine the appropriate 511 real-time transit sign design to use. MTC Res. 3866, Revised is available at http://www.mtc.ca.gov/planning/tcip/. Consult with project-specific MTC staff during project planning to further assess the applicability of Res. 3866, Revised and how to implement specific aspects of the project.

(3) On 5/9/12, staff recommended SFMTA's and VTA's Proposition 1B projects for deferral (not programming) pending resolution of youth/low income free fare funding discussions. Projects were recommended for funding on 6/13/12.

(4) On 6/13/12, staff recommended deferral of funding for the Richmond Easy Go project in order to clarify eligibility issues. Project was recommended for funding on 7/11/12.

(5) ~~The JARC amounts will come from the FTA Section 5316 program if the project is assigned FY2011 and/or FY2012 apportionment year funds, and from the FTA Section 5307 program if the project is assigned FY2013 apportionment year funds.~~ JARC funds include FTA Section 5316 funds apportioned in FY12 and Section 5307 funds apportioned in FY13 and FY14. For more information regarding the FY2013 Section 5307 funds, see the Transit Capital Priorities (TCP) Process and Criteria for FY 2012-13 & FY 2013-14 (MTC Resolution No. 4072) and the TCP Program for FY 2012-13 & FY 2013-14 (MTC Resolution No. 4084).

(6) Project must follow the requirements in Attachment A of the *Phase II Call for Projects: 2012 RM2 Real-time Transit Information Grant Program*

(7) On 6/13/12, staff recommended deferral of funding for BART's Transbay Owl Express in order to work with counties and sponsor to address issues. Project was recommended for funding on 7/11/12.

(8) On 12/19/12, $405,987 in JARC funding was transferred from Santa Rosa CityBus Enhanced Automatic Vehicle Location (AVL) and Real-Time Transit Information Program and reprogrammed to CityBus Roseland Lifeline Operations.

(9) On 12/19/12, SFMTA's 8X Mobility Maximization Proposition 1B amount was reduced from $9,310,080 to $5,285,000, SFMTA's Mission Mobility Maximization Proposition 1B amount was increased from $2,413,350 to $5,056,891, and a new Lifeline-eligible project, the Mission Bay Loop, was programmed $1,381,539 in Proposition 1B funds. CMA Concurrence for SFMTA's Proposition 1B projects is expected in December 2012. MTC approval is contingent on receiving that board approval.

(10) San Francisco County STA projects were recommended for funding in December 2012.

(11) On 4/24/13, $126,353 in JARC funding was transferred from Contra Costa County Employment & Human Services Taxi Referral Program to Tri Delta Transit for Route 200 & 201. $126,353 in STA funding was transferred from Tri Delta Transit Route 200 & 201 to Contra Costa County Employment & Human Services Department Taxi Referral Program, as a pass through from Tri Delta Transit.

(12) On 4/24/13, $150,055 in JARC funding was transferred from City of Concord Monument Neighborhood Shuttle to County Connection Preseve Operations in Community Concern project. $150,055 in local Measure J funds will be programmed to the Monument Neighborhood Shuttle by the Contra Costa Transportation Authority.

(13) SFCTA Board approval for SFMTA's STP/CMAQ project was received in April 2013.

(14) On 10/23/13, $35,000 in JARC funding was transferred from Cycles of Change's Neighborhood Bike Centers project to the San Leandro TMO LINKS Shuttle. This modifications pays LINKS back from funds borrowed by Cycles in 2012, LTP2 JARC funds.

(15) On 12/18/13, $500,000 in Proposition 1B funding was transferred from AC Transit's Internal Text Messing Signs project to the Contra Costa College Transit Center Improvements project. This modification is due to cost savings on the Internal Text Messaging Signs project and will allow the scope of the Transit Center Improvements project to include real-time displays and amenities upgrades.

(16) On 2/26/14 $1,745,579 in STA funds were redirected to five projects impacted by the loss of JARC funds: Oakland Broadway Shuttle, $723,000; San Leandro "LINKS" Shuttle, $310,089; Concord Monument Neighborhood Shuttle, $161,648; Outreach Family Transportation Services, $461,829; and MTC Admin & Tech. Asst., $89,013. The STA funds were from the Means-Based Fare Study ($691,745) and the FY14 STA Lifeline category ($1,053,834). Additionally, JARC funds were replaced with 5307 FY14 funds on the following projects: Contra Costa County Taxi Referral Program, $37,884; AC Transit Preserve Ops in Comm of Concern, $45,986; and Santa Rosa Roseland Operations, $124,214.

APPENDIX A – 29

Specific Funding Programs

MTC's Job Access and Reverse Commute (JARC)-Funded Mobility Management Program of Projects

MTC Resolution No. 4052

Date: May 23, 2012
W.I.: 1311
Referred by: PAC

ABSTRACT

Resolution No. 4052

This resolution adopts the Job Access and Reverse Commute (JARC)-Funded Mobility Management Program of Projects.

The following attachment is provided with this resolution:

Attachment A — Job Access and Reverse Commute (JARC)-Funded Mobility Management Program of Projects

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheet dated May 9, 2012.

Date: May 23, 2012
W.I.: 1311
Referred by: PAC

Re: Job Access and Reverse Commute (JARC)-Funded Mobility Management Program of Projects

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION No. 4052

WHEREAS, Title 49 United States Code (U.S.C.) Section 5316 (49 U.S.C. 5316) authorizes and sets forth the provisions for the Job Access and Reverse Commute program, which makes grants to recipients for access to jobs and reverse commute projects carried out by the recipient or a subrecipient.

WHEREAS, 49 U.S.C. §5316(c) apportions Job Access and Reverse Commute funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, 49 U.S.C. 5316(d) requires designated recipients of Job Access and Reverse Commute funds to conduct a competitive process to award grants to subrecipients; and

WHEREAS, pursuant to California Government Code Section 66500 et seq., the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, consistent with 49 U.S.C. §5307(a)(2), MTC is the designated recipient of the Federal Transit Administration's (FTA's) Job Access Reverse Commute program funding apportionments for large urbanized areas in the nine-county San Francisco Bay Area; and

WHEREAS, as the designated recipient, MTC has conducted a competitive selection process and developed for submittal to the Federal Transit Administration (FTA) a program of projects (POP) for the Job Access and Reverse Commute funds, attached hereto as Attachment A, and incorporated herein as though set forth at length; and

WHEREAS, MTC has adopted Resolution No. 4042, which sets forth MTC's Program Guidelines for the Job Access and Reverse Commute-Funded Mobility Management Program; and

WHEREAS, MTC conducted the competitive selection processes for the Job Access and Reverse Commute large urbanized area apportionment in accordance with those guidelines; now, therefore, be it

RESOLVED, that MTC adopts the Job Access and Reverse Commute-Funded Mobility Management Program of Projects for large urbanized areas as listed in Attachment A; and be it further

RESOLVED, that MTC will submit to FTA a grant application to secure the Job Access and Reverse Commute funding for those agencies listed as subrecipients in Attachment A who are not able to submit a grant application to FTA themselves; and be it further

RESOLVED, that MTC will enter into agreements with those agencies listed as subrecipients in Attachment A to ensure their compliance with all applicable Federal requirements; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on May 23, 2012.

Date: May 23, 2012
W.I.: 1311
Referred by: PAC

Attachment A
MTC Resolution No. 4052
Page 1 of 1

JOB ACCESS AND REVERSE COMMUTE-FUNDED MOBILITY MANAGEMENT PROGRAM
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS

No.	Project Sponsor	Project		Total Project Cost	Federal New Freedom Recommended Share
		Name	Description		
MTC Subrecipients					
1	Outreach & Escort, Inc.	Together We Ride – Mobility Management Center	Project is a combination of technology and mobility management best practices designed to improve access to transportation resource information for the region and increase opportunities for employment transportation coordination. Project will make available technologies and service models developed by Outreach to achieve these goals.	$471,323	$377,058
2	Marin Transit	Mobility Management Technology "Backbone" Project	Building upon Marin Transit's Access Mobility Management Center, this project would develop an overall systems approach to Marin's mobility management technology needs, and provide seed funding for the creation of comprehensive technology functions to facilitate the coordination of transportation for low-income residents. The Project will include a targeted marketing program focus on gaining the participation of those organizations that serve the employment related needs of the unemployed and under-employed.	$375,000	$300,000
			Total	**$846,323**	**$677,058**

APPENDIX A – 30

Specific Funding Programs

Project Priorities for the FY2011-12
FTA Elderly and Persons with Disabilities Program
(Section 5310)

MTC Resolution No. 4096

Date: May 22, 2013
W.I.: 1512
Referred By: PAC

ABSTRACT

Resolution No. 4096

This resolution adopts the Application Evaluation Process (Attachment A) and Program Priorities (Attachment B) for the FY2011-12 Federal Transit Administration (FTA) Transportation for Elderly Persons and Persons with Disabilities Program (49 U.S.C. Section 5310), and directs that the recommendations be submitted to Caltrans and the California Transportation Commission (CTC) with the request that the projects be considered for funding and incorporated in the statewide Program of Projects submitted to the Federal Transit Administration.

Further discussion of this action is contained in the MTC Programming and Allocations Summary dated May 8, 2013.

Date: May 22, 2013
W.I.: 1512
Referred By: PAC

Re: FY2011-12 FTA Transportation for Elderly Persons and Persons with Disabilities Program Recommendations for the San Francisco Bay Area Region

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4096

WHEREAS, Title 49 U.S.C. 5310 authorizes grants to private non-profit organizations and certain public entities for public transportation capital projects to meet the special needs of elderly individuals and individuals with disabilities; and

WHEREAS, the California Transportation Commission (CTC) must consider all project applications received within the state prior to submittal to the Federal Transit Administration (FTA) for funding approval; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code sections 66500 et seq.; and

WHEREAS, MTC, as the Regional Transportation Planning Agency, is responsible for objectively reviewing and scoring projects submitted by applicants in the MTC region and for making recommendations concerning their suitability for funding; these recommendations are to be considered by the CTC in its preparation of the statewide Program of Projects; and

WHEREAS, MTC, as the Regional Transportation Planning Agency, is responsible for establishing a public participation plan and a Local Level Appeals Process for the applicants; and

WHEREAS, MTC Resolution No. 468 states that "MTC shall not endorse a federal or state transportation grant request by private non-profit, or paratransit operators, including claimants under the FTA Elderly and Persons with Disabilities Program, unless the claimant shows to the satisfaction of the MTC evidence of willingness to participate in a countywide Paratransit Coordinating Council (PCC)"; now, therefore, be it

RESOLVED, that MTC has followed the Elderly and Persons with Disabilities Program Application Evaluation Process set forth in Attachment A, attached hereto and incorporated herein as though set forth in full; and, be it further

RESOLVED, that MTC has notified and involved interested members of the public in the selection and ranking of FTA Elderly and Persons with Disabilities Program projects; and, be it further

RESOLVED, that, based on the outcome of such process, MTC endorses the project priorities and conditions as listed on Attachment B to this resolution, attached hereto and incorporated herein as though set forth at length; and, be it further

RESOLVED, that the Executive Director of MTC or his designee shall transmit these recommendations to Caltrans and to the CTC, with the request that they be fully considered and incorporated by the CTC in its preparation of the statewide program of projects to be submitted to FTA for funding under the Elderly and Persons with Disabilities Program; and, be it further

RESOLVED, that a copy of this resolution shall also be transmitted to each county PCC which has participated in the FTA Elderly and Persons with Disabilities Program Project Review Process, and to other organizations as shall be appropriate; and, be it further

RESOLVED, that MTC will amend its Transportation Improvement Program (TIP) when appropriate to incorporate those projects approved at the state level.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth, Chair

The above resolution was entered into by the
Metropolitan Transportation Commission
at a regular meeting of the Commission held
in Oakland, California on May 22, 2013.

FTA Section 5310 Transportation for Elderly Persons and Persons with Disabilities Program
MTC's FY2011-12 Application Evaluation Process

1. MTC notified prospective applicants of the statewide Call for Projects. Outreach activities included: 1) an email to prospective applicants, 2) a postcard to prospective applicants, 3) an announcement on the MTC website, 4) a presentation to the Partnership Accessibility Committee, and 5) local outreach conducted by the nine county Paratransit Coordinating Councils (PCCs).

2. Each eligible project request received was evaluated using the statewide criteria, which were developed by the California Transportation Commission (CTC). The evaluation criteria are divided into the following categories: 1) ability of applicant, 2) coordination planning, 3) utilization of existing or proposed equipment, and 4) service effectiveness.

3. MTC, as the Regional Transportation Planning Agency, convened the nine county Paratransit Coordinating Councils (PCCs) to lead each county-wide evaluation process. Each county PCC assembled a Local Review Committee (LRC) to evaluate and score the applications submitted for funding under the FTA Section 5310 program. The composition of the county teams was determined entirely by each PCC. Applicants for projects that were deemed ineligible by the LRC were notified by the county PCC.

4. MTC staff reviewed each application to determine that the proposed project was derived from MTC's Coordinated Public Transit – Human Services Transportation Plan: Elderly and Disabled Component, and also independently evaluated the applications to make sure that the same standards were applied throughout the region in areas where some discretion was allowed.

5. The LRC's scores were transmitted to MTC staff. Discrepancies between the LRC's and MTC staff's scores were discussed and resolved. MTC staff notified each applicant and the PCCs of the scores and the local appeal process.

6. MTC staff held an open forum format to hear and resolve applicant appeals.

7. MTC staff compiled all scores for the region and developed a regional priority listing. MTC staff will present the final recommendations to the Commission for adoption. Once adopted, the final list will be transmitted to Caltrans and CTC for funding consideration.

FTA SECTION 5310 TRANSPORTATION FOR ELDERLY PERSONS & PERSONS WITH DISABILITIES PROGRAM
FY 2011-12 PROGRAM PRIORITIES FOR SAN FRANCISCO BAY AREA REGION

NO.	Applicant	Project	Type[1]	Vin[2]	QTY[3]	Project Score	Total Cost	Federal Portion[4]	County
1	Outreach & Escort, Inc.	Minivan	R	38704	-	100	$ 45,000	$ 39,839	Santa Clara
2	Outreach & Escort, Inc.	Minivan	R	36198	-	100	$ 45,000	$ 39,839	Santa Clara
3	Outreach & Escort, Inc.	Minivan	R	36457	-	100	$ 45,000	$ 39,839	Santa Clara
4	Outreach & Escort, Inc.	Minivan	R	37672	-	100	$ 45,000	$ 39,839	Santa Clara
5	Outreach & Escort, Inc.	Minivan	R	35520	-	100	$ 45,000	$ 39,839	Santa Clara
6	Outreach & Escort, Inc.	Minivan	R	36553	-	100	$ 45,000	$ 39,839	Santa Clara
7	Outreach & Escort, Inc.	Minivan	R	34575	-	100	$ 45,000	$ 39,839	Santa Clara
8	Outreach & Escort, Inc.	Minivan	R	39045	-	100	$ 45,000	$ 39,839	Santa Clara
9	Outreach & Escort, Inc.	Minivan	R	44952	-	100	$ 45,000	$ 39,839	Santa Clara
10	Outreach & Escort, Inc.	Minivan	R	45953	-	100	$ 45,000	$ 39,839	Santa Clara
11	Outreach & Escort, Inc.	Minivan	R	44580	-	100	$ 45,000	$ 39,839	Santa Clara
12	Outreach & Escort, Inc.	Minivan	R	45066	-	100	$ 45,000	$ 39,839	Santa Clara
13	Outreach & Escort, Inc.	Minivan	R	45008	-	100	$ 45,000	$ 39,839	Santa Clara
14	Outreach & Escort, Inc.	Base Station	OE	-	1	100	$ 2,500	$ 2,213	Santa Clara
15	Outreach & Escort, Inc.	Mobile Radio	OE	-	13	100	$ 12,350	$ 10,933	Santa Clara
16	Friends of Children with Special Needs	Medium Bus	SE	-	-	96	$ 67,000	$ 59,315	Alameda
17	Friends of Children with Special Needs	Medium Bus	SE	-	-	96	$ 67,000	$ 59,315	Alameda
18	Pace Solano	Small Bus	R	62746	-	94	$ 60,000	$ 53,118	Solano
19	Pace Solano	Medium Bus	R	82257	-	94	$ 67,000	$ 59,315	Solano
20	Pace Solano	Large Bus	R	67894	-	94	$ 73,000	$ 64,627	Solano
21	Pace Solano	Large Bus	R	70669	-	94	$ 73,000	$ 64,627	Solano
22	Pace Solano	Large Bus	R	67892	-	94	$ 73,000	$ 64,627	Solano
23	Pace Solano	Large Bus	R	67895	-	94	$ 73,000	$ 64,627	Solano
24	Pace Solano	Large Bus	R	65368	-	94	$ 73,000	$ 64,627	Solano
25	Pace Solano	Large Bus	R	3765	-	94	$ 73,000	$ 64,627	Solano
26	On Lok Senior Health Services	Small Bus	R	31758	-	87	$ 60,000	$ 53,118	San Francisco
27	Alzheimer's Services of the East Bay	Small Bus	R	63071	-	84	$ 60,000	$ 53,118	Alameda
28	Alzheimer's Services of the East Bay	Small Bus	R	25106	-	84	$ 60,000	$ 53,118	Alameda
29	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
30	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
31	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
32	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
33	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
34	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda

[1] R=Replacement, SE=Service Expansion, OE=Other Equipment
[2] VIN-For replacement projects, Vehicle Identification Number (last 5 digits only)
[3] OE requests only
[4] Federal Portion is 88.53%; remaining 11.47% is local match

FTA SECTION 5310 TRANSPORTATION FOR ELDERLY PERSONS & PERSONS WITH DISABILITIES PROGRAM
FY 2011-12 PROGRAM PRIORITIES FOR SAN FRANCISCO BAY AREA REGION

35	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
36	Center for Elders' Independence	Medium Bus	SE	-	-	84	$ 67,000	$ 59,315	Alameda
37	Laguna Honda Hospital and Rehabilitation Center	Medium Bus	R	20106	-	84	$ 67,000	$ 59,315	San Francisco
38	Laguna Honda Hospital and Rehabilitation Center	Medium Bus	R	17650	-	84	$ 67,000	$ 59,315	San Francisco
39	Laguna Honda Hospital and Rehabilitation Center	Larger Bus	R	92466	-	84	$ 97,000	$ 85,874	San Francisco
40	Milestones Adult Development Center	Minivan	R	15723	-	84	$ 45,000	$ 39,839	Solano
41	Milestones Adult Development Center	Small Bus	R	40576	-	84	$ 60,000	$ 53,118	Solano
42	Milestones Adult Development Center	Wheelchair Tie Down Kit	OE	-	20	84	$ 8,400	$ 7,437	Solano
43	Solano County Transit (SolTrans)	Computer Software	OE	-	1	84	$ 37,708	$ 33,383	Solano
44	Center for Elders' Independence	Mobile Radio	OE	-	8	83	$ 4,000	$ 3,541	Alameda
45	Institute on Aging	Wheelchair Tie Down Kit	OE	-	5	83	$ 27,950	$ 24,744	San Francisco
46	Lamorinda Spirit Van, City of Lafayette	Medium Bus	R	23929	-	83	$ 67,000	$ 59,315	Contra Costa
47	Milestones Adult Development Center	Computer Hardware	OE	-	1	82	$ 1,999	$ 1,770	Solano
48	On Lok Senior Health Services	Small Bus	R	23264	-	82	$ 60,000	$ 53,118	San Francisco
49	Bay Area Outreach and Recreation Program, Inc.	Large Bus	SE	-	-	80	$ 73,000	$ 64,627	Alameda
50	HOPE Rehabilitation Services	Small Bus	R	11941	-	80	$ 60,000	$ 53,118	Santa Clara
51	HOPE Rehabilitation Services	Small Bus	R	29530	-	80	$ 60,000	$ 53,118	Santa Clara
52	HOPE Rehabilitation Services	Small Bus	R	10329	-	80	$ 60,000	$ 53,118	Santa Clara
53	HOPE Rehabilitation Services	Small Bus	R	93904	-	80	$ 60,000	$ 53,118	Santa Clara
54	HOPE Rehabilitation Services	Small Bus	R	42431	-	80	$ 60,000	$ 53,118	Santa Clara
55	HOPE Rehabilitation Services	Small Bus	R	10458	-	80	$ 60,000	$ 53,118	Santa Clara
56	HOPE Rehabilitation Services	Small Bus	R	29207	-	80	$ 60,000	$ 53,118	Santa Clara
57	HOPE Rehabilitation Services	Small Bus	R	92284	-	80	$ 60,000	$ 53,118	Santa Clara
58	HOPE Rehabilitation Services	Small Bus	R	19799	-	80	$ 60,000	$ 53,118	Santa Clara
59	North and South of Market Adult Day Health Corp. (SteppingStone)	Medium Bus	SE	-	-	80	$ 67,000	$ 59,315	San Francisco
60	North and South of Market Adult Day Health Corp. (SteppingStone)	Medium Bus	SE	-	-	80	$ 67,000	$ 59,315	San Francisco
61	Milestones Adult Development Center	Small Bus	R	06317	-	79	$ 60,000	$ 53,118	Solano
62	Milestones Adult Development Center	Large Bus	R	06318	-	79	$ 73,000	$ 64,627	Solano
63	Milestones Adult Development Center	Larger Bus	R	73528	-	79	$ 105,000	$ 92,957	Solano
64	Institute on Aging	Large Bus	R	65972	-	78	$ 73,000	$ 64,627	San Francisco
65	Institute on Aging	Large Bus	R	65970	-	78	$ 73,000	$ 64,627	San Francisco
66	Institute on Aging	Large Bus	R	63998	-	78	$ 73,000	$ 64,627	San Francisco
67	Institute on Aging	Large Bus	R	65971	-	78	$ 73,000	$ 64,627	San Francisco
68	Institute on Aging	Large Bus	R	63997	-	78	$ 73,000	$ 64,627	San Francisco
69	Institute on Aging	Video Surveillance System	OE	-	12	78	$ 10,200	$ 9,030	San Francisco

[1] R=Replacement, SE=Service Expansion, OE=Other Equipment
[2] VIN-For replacement projects, Vehicle Identification Number (last 5 digits only)
[3] OE requests only
[4] Federal Portion is 88.53%; remaining 11.47% is local match

FTA SECTION 5310 TRANSPORTATION FOR ELDERLY PERSONS & PERSONS WITH DISABILITIES PROGRAM
FY 2011-12 PROGRAM PRIORITIES FOR SAN FRANCISCO BAY AREA REGION

70	Napa County Transportation and Planning Agency	Medium Bus	R	13821	-	78	$ 67,000	$ 59,315	Napa
71	Napa County Transportation and Planning Agency	Medium Bus	R	12461	-	78	$ 67,000	$ 59,315	Napa
72	Napa County Transportation and Planning Agency	Medium Bus	R	13818	-	78	$ 67,000	$ 59,315	Napa
73	Self Help for the Elderly	Computer Hardware	OE	-	10	78	$ 20,840	$ 18,449	San Francisco
74	Self Help for the Elderly	Computer Software	OE	-	10	78	$ 4,241	$ 3,755	San Francisco
75	Self Help for the Elderly	Base Station	OE	-	1	78	$ 2,500	$ 2,213	San Francisco
76	Self Help for the Elderly	Mobile Radio	OE	-	11	78	$ 11,000	$ 9,738	San Francisco
77	On Lok Senior Health Services	Small Bus	SE	-	-	77	$ 60,000	$ 53,118	San Francisco
78	On Lok Senior Health Services	Small Bus	SE	-	-	77	$ 60,000	$ 53,118	San Francisco
79	On Lok Senior Health Services	Small Bus	SE	-	-	77	$ 60,000	$ 53,118	San Francisco
80	On Lok Senior Health Services	Small Bus	SE	-	-	77	$ 60,000	$ 53,118	San Francisco
81	On Lok Senior Health Services	Small Bus	SE	-	-	77	$ 60,000	$ 53,118	San Francisco
82	On Lok Senior Health Services	Small Bus	SE	-	-	77	$ 60,000	$ 53,118	San Francisco
83	Self Help for the Elderly	Minivan	SE	-	-	74	$ 45,000	$ 39,839	San Francisco
84	Self Help for the Elderly	Minivan	SE	-	-	74	$ 45,000	$ 39,839	San Francisco
85	Self Help for the Elderly	Modified Raised Top Van	SE	-	-	74	$ 50,000	$ 44,265	San Francisco
86	Self Help for the Elderly	Modified Raised Top Van	SE	-	-	74	$ 50,000	$ 44,265	San Francisco
87	Institute on Aging	Minivan 5	SE	-	-	71	$ 45,000	$ 39,839	San Francisco
88	Institute on Aging	Modified Raised Top Van	SE	-	-	71	$ 50,000	$ 44,265	San Francisco
89	Institute on Aging	Medium Bus	SE	-	-	71	$ 67,000	$ 59,315	San Francisco
90	Edgewood Center for Children and Families	Minivan	SE	-	-	70	$ 45,000	$ 39,839	San Francisco
91	Edgewood Center for Children and Families	Minivan	SE	-	-	70	$ 45,000	$ 39,839	San Francisco
92	Edgewood Center for Children and Families	Minivan	SE	-	-	70	$ 45,000	$ 39,839	San Francisco
93	Edgewood Center for Children and Families	Minivan	SE	-	-	70	$ 45,000	$ 39,839	San Francisco
94	HOPE Rehabilitation Services	Small Bus	R	03316	-	70	$ 60,000	$ 53,118	Santa Clara
95	Laguna Honda Hospital and Rehabilitation Center	Minivan	SE	-	-	69	$ 45,000	$ 39,839	San Francisco
96	Milestones Adult Development Center	Large Bus	R	73534	-	69	$ 73,000	$ 64,627	Solano
97	Milestones Adult Development Center	Large Bus	R	73531	-	69	$ 73,000	$ 64,627	Solano
98	Milestones Adult Development Center	Large Bus	R	09506	-	64	$ 73,000	$ 64,627	Solano
99	Napa County Transportation and Planning Agency	Base Station	OE	-	1	63	$ 2,500	$ 2,213	Napa
100	Napa County Transportation and Planning Agency	Mobile Radio	OE	-	3	63	$ 3,000	$ 2,656	Napa
						TOTAL	$ 5,379,188	$ 4,762,195	

[1] R=Replacement, SE=Service Expansion, OE=Other Equipment
[2] VIN-For replacement projects, Vehicle Identification Number (last 5 digits only)
[3] OE requests only
[4] Federal Portion is 88.53%; remaining 11.47% is local match

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APPENDIX A – 31

Specific Funding Programs

FTA Nonurbanized Area Formula (Section 5311)
Program of Projects for FY 2013-14 and FY2014-15

MTC Resolution No. 4125

Date: December 18, 2013
W.I.: 1512
Referred By: PAC
Revised: 03/26/14-C

ABSTRACT

Resolution No. 4125, Revised

This resolution adopts the FY2013-14 and FY2014-15 Federal Transit Administration (FTA) Rural Areas Formula (Section 5311) Program of Projects for the San Francisco Bay Area.

The resolution includes the following attachment:

Attachment A - FTA Section 5311 Nonurbanized Area Formula Program FY2013-14 and FY2014-15

This resolution was revised on March 26, 2014 to adjust the FY2013-14 funding for all projects, due to an increase in the amount of funding available in FY2013-14, based on actual apportionments released by Caltrans.

Further discussion of this action is contained in the MTC Programming and Allocations Committee Summary sheet dated December 11, 2013 and March 5, 2014.

Date: December 18, 2013
W.I.: 1512
Referred By: PAC

Re: Program of Projects in the San Francisco Bay Area for the FY2013-14 and FY2014-15 Federal Transit Administration (FTA) Rural Areas Formula (Section 5311) Funds

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4125

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code sections 66500 et. seq.; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, the U.S. Department of Transportation (DOT) has adopted rules and regulations (23 CFR 450 and CFR 613) which require that the MPO, in cooperation with the state and publicly-owned operators of mass transportation services, carry on a continuing, cooperative and comprehensive transportation planning process that results in plans and programs consistent with the comprehensively planned development of the urbanized area, as a condition to the receipt of federal capital or operating assistance; and

WHEREAS, Section 5311 Title 49 of the United States Code (formerly Section 18 of the Federal Transit Act (FTA) provides a formula grant program for public transportation projects in areas other than urbanized areas (49 U.S.C. Section 5311); and

WHEREAS, MTC has adopted Resolution No. 4036, which sets forth MTC's FTA Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area; and

WHEREAS, MTC has developed, in consultation with interested transportation providers and in accordance with the MTC's Section 5311 Funding Objectives and Criteria, a FY2013-14 and FY2014-15 FTA Rural Areas Formula Program of Projects for the San Francisco Bay Area,

attached hereto as Attachment A, and incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the FY2013-14 and FY2014-15 FTA Rural Areas Formula Program of Projects as listed on Attachment A; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to modify the FY2013-14 and FY2014-15 Program of Projects as listed on Attachment A to match the actual FTA Rural Areas Formula fund appropriation if needed; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to Caltrans, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth, Chair

The above resolution was entered into by
the Metropolitan Transportation Commission
at a regular meeting of the Commission held in
Oakland, California, on December 18, 2013.

Date: December 18, 2013
W.I.: 1512
Referred by: PAC
Revised: 03/26/14-C

Attachment A
Resolution No. 4125
Page 1 of 1

Federal Transit Administration
Section 5311 Nonurbanized Area Formula Program
FY2013-14 and FY2014-15

FY2013-14 Funding Available:

Apportionments:	**$**	**1,907,560**
Prior Year Carryover:	**$**	**-**
Total Funding Available:	**$**	**1,907,560**

FY 2013-14 Programming:

Applicant	Project Description	Sect. 5311 Program	Local Match	Total Project Cost	Toll Credit
Dixon	Operating Assistance (Readi-Ride)	$ 243,428	$ 260,572	$ 504,000	$ -
Dixon	Readi Ride Capital (Repl Paratransit vehicles)	$ 65,000	$ 8,421	$ 73,421	
Fairfield	Operating Assistance (Rt. 30)	$ 100,000	$ 226,647	$ 326,647	$ -
LAVTA	Operating Assistance (Rts. 2, 11, 12, 20)	$ 52,155	$ 319,109	$ 371,264	$ -
Marin County Transit	Operating Assistance (West Marin Stagecoach)	$ 251,673	$ 203,185	$ 454,858	$ -
Napa County Transit	Operating Assistance (Northern Napa Co.)	$ 252,841	$ 204,128	$ 456,969	$ -
Rio Vista	Operating Assistance (Delta Breeze)	$ 40,000	$ 32,294	$ 72,294	$ -
SamTrans	Operating Assistance (Coastside, Rt. 17)	$ 187,204	$ 895,732	$ 1,082,936	$ -
SolTrans	Operating Assistance (Rt. 85)	$ 40,000	$ 32,294	$ 72,294	$ -
Sonoma County Transit	Vehicle Replacements	$ 579,207	$ 75,042	$ 654,249	$ -
VTA	Operating Assistance (Rt. 68)	$ 96,052	$ 3,827,383	$ 3,923,435	$ -
Total Programming		$ 1,907,560	$ 6,084,807	$ 7,992,367	$ -
Total Available		$ 1,907,560			
Available for Carryover		$ -			

FY2014-15 Funding Available:

Apportionments:	**$**	**1,865,390**
Prior Year Carryover:	**$**	**-**
Total Funding Available:	**$**	**1,865,390**

FY 2014-15 Programming:

Applicant	Project Description	Sect. 5311 Program	Local Match	Total Project Cost	Toll Credit
Dixon	Operating Assistance (Readi-Ride)	$ 207,631	$ 296,369	$ 504,000	$ -
Dixon	Readi Ride Capital (Repl Paratransit vehicles)	$ 65,000	$ 8,421	$ 73,421	
Fairfield	Operating Assistance (Rt. 30)	$ 100,000	$ 226,647	$ 326,647	$ -
LAVTA	Operating Assistance (Rts. 2, 11, 12, 20)	$ 51,002	$ 319,109	$ 370,111	$ -
Marin County Transit	Operating Assistance (West Marin Stagecoach)	$ 246,109	$ 198,693	$ 444,802	$ -
Napa County Transit	Operating Assistance (Northern Napa Co.)	$ 247,251	$ 199,615	$ 446,866	$ -
Rio Vista	Operating Assistance (Delta Breeze)	$ 40,000	$ 32,294	$ 72,294	$ -
Rio Vista	Delta Breeze Park n Ride	$ 25,000	$ 3,239	$ 28,239	
SamTrans	Operating Assistance (Coastside, Rt. 17)	$ 183,066	$ 1,479,163	$ 1,662,229	$ -
SolTrans	Operating Assistance (Rt. 85)	$ 40,000	$ 32,294	$ 72,294	$ -
Sonoma County Transit	Vehicle Replacements	$ 566,402	$ 73,383	$ 639,785	$ -
VTA	Operating Assistance (Rt. 68)	$ 93,929	$ 3,954,460	$ 4,048,389	$ -
Total Programming		$ 1,865,390	$ 6,823,687	$ 8,689,077	$ -
Total Available		$ 1,865,390			
Available for Carryover		$ -			

APPENDIX A – 32

Specific Funding Programs

2014 Regional Transportation Improvement Program (RTIP)
MTC Resolution No. 4128

Date: December 18, 2013
W.I.: 1515
Referred by: PAC
Revised: 01/22/14-C

ABSTRACT
Resolution No. 4128, Revised

This resolution adopts the 2014 Regional Transportation Improvement Program (RTIP) for fiscal years 2014-15 through 2018-19, for the San Francisco Bay Area for submission to the California Transportation Commission (CTC).

Attachment A – 2014 RTIP project list

Attachment B – 2014 RTIP programming policies

This resolution was amended by Commission Action on January 22, 2014 to add One Bay Area Grant (OBAG) projects in Fairfax and Marin County (Marin County) and South San Francisco (San Mateo County), change the year of programming of San Francisco County's Central Subway project to FY 2014-15, delete the Silverado Five-Way Intersection Improvements project in Napa County, and substitute the BART Station Modernization project in lieu of the BART eBART project in Contra Costa County.

Further discussion of this action is contained in the MTC Programming and Allocations Committee Summary Sheet dated December 11, 2013, and January 8, 2014.

Date: December 18, 2013
W.I.: 1515
Referred by: PAC

RE: Adoption of 2014 Regional Transportation Improvement Program (RTIP)

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4128

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC has adopted, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC biennially adopts, pursuant to Government Code Section 65080, a Regional Transportation Improvement Program (RTIP) that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, and local governments, a five-year program for the funding made available for highways, roadways and state-funded mass transit guideways and other transit capital improvement projects for inclusion in fiscal years 2014-15 through 2018-19 of the 2014 RTIP ("2014 RTIP"); and

WHEREAS, the 2014 RTIP has been developed consistent with the policies and procedures outlined in MTC Resolution No. 4118, and with the STIP Guidelines adopted by the CTC on August 6, 2013; and

WHEREAS, Attachment A sets forth the project list for the 2014 RTIP and Attachment B sets forth programming policies as a companion to the project list; and

WHEREAS, MTC's Programming and Allocations Committee recommends adoption of the funding for inclusion in fiscal years 2014-15 through 2018-19 of the 2014 RTIP; now, therefore, be it

RESOLVED, that MTC adopts the 2014 RTIP, attached hereto as Attachment A and Attachment B and incorporated herein as though set forth at length, and finds it consistent with the RTP; and, be it further

RESOLVED, that the Executive Director may make adjustments to Attachment 'A' in consultation with the respective Congestion Management Agency (CMA) or County Transportation Planning Agency, to respond to direction from the California Transportation Commission and/or the California Department of Transportation; and, be it further

RESOLVED, that MTC's adoption of the programs and projects in the 2014 RTIP is for planning purposes only, with each project still subject to MTC's project review and application approval pursuant to MTC Resolution Nos. 3115 and 3075; and, be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth

Amy Rein Worth, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on December 18, 2013.

Date: December 18, 2013
W.I.: 1515
Referred by: PAC
Revised: 01/22/14-C

Attachment A
Resolution No. 4128

2014 Regional Transportation Improvement Program (RTIP)

Project List

Date: December 18, 2013
Attachment A
MTC Resolution No. 4128
Referred by: PAC
Revised: 01/22/14-C

Attachment A

MTC 2014 Regional Transportation Improvement Program

January 8, 2013
(all numbers in thousands)

County	Agency	PPNO	Project	Total	2014 RTIP Funding by Fiscal Year					
					Prior	14-15	15-16	16-17	17-18	18-19
Proposed 2014 RTIP - New or Amended Funding in STIP										
Alameda	ACTC	2179	Planning, programming, and monitoring	1,315	0	0	0	0	750	565
Alameda	MTC	2100	Planning, programming, and monitoring	275	0	0	0	0	135	140
Alameda	ACTC	81D	SR-84 East-West Connector in Fremont	12,000	0	0	0	0	0	12,000
Alameda	Caltrans	81H	SR-84 Expressway in Livermore (Southern Segment 2)	-37,030	0	0	0	-37,030	0	0
Alameda	Caltrans	81H	SR-84 Expressway in Livermore (Southern Segment 2)	47,030	0	47,030	0	0	0	0
Regional	Caltrans	0521K	I-680 Freeway Performance Initiative, Phase 2	2,000	0	0	2,000	0	0	0
Alameda	AC Transit	new	AC Bus Rapid Transit (BRT) Project	7,995	0	0	7,995	0	0	0
San Mateo	BART	new	Daly City BART Station Intermodal Improvements	200	0	0	0	200	0	0
Alameda-TE	MTC	2100C	TE Reserve (MTC Share)	-3,726	0	0	-3,726	0	0	0
Alameda-OBAG	BART	new	Downtown Berkeley BART Plaza/Transit Area Improvements	3,726	0	3,726	0	0	0	0
Alameda-TE	ACTC	2100J	TE Reserve (County Share)	0	0	0	0	0	0	0
			Target = $33,785	33,785	0	50,756	6,269	-36,830	885	12,705
Contra Costa	CCTA	2011O	Planning, programming, and monitoring	909	0	0	0	0	455	454
Contra Costa	MTC	2118	Planning, programming, and monitoring	179	0	0	0	0	88	91
Contra Costa	CCTA	0222E	I-680 SB HOV Gap Closure (N Main - Livorna)	10,000	0	0	-5,557	15,557	0	0
Contra Costa	CCTA	0242J	I-80/San Pablo Dam Rd. Interchange Reconstruction, Ph. 1	-15,000	0	-7,000	-8,000	0	0	0
Contra Costa	CCTA	0242J	I-80/San Pablo Dam Rd. Interchange Reconstruction, Ph. 1	15,000	0	15,000	0	0	0	0
Contra Costa	CCTA	new	I-80/San Pablo Dam Rd. Interchange Reconstruction, Ph. 2	9,200	0	0	9,200	0	0	0
Regional	Caltrans	0521K	I-680 Freeway Performance Initiative, Phase 2	-22,000	0	0	-22,000	0	0	0
Contra Costa	CCTA	0298E	I-680/SR-4 Interchange, NB 680 to WB 4	-1,310	0	-1,310	0	0	0	0
Contra Costa	CCTA	new	I-680/SR-4 Interchange, Widening of SR-4 (Phase 3)	36,610	0	0	36,610	0	0	0
Contra Costa	CCTA	new	Kirker Pass Rd. NB Truck Climbing Lane	2,650	0	0	0	0	2,650	0
Contra Costa	CCTA	new	I-80/Central Ave. Interchange Ph. 2 (Local Rd Realignment)	2,000	0	0	0	0	2,000	0
Contra Costa	BART		Eastern Contra Costa BART Extension (eBART)	-13,000	0	0	-13,000	0	0	0
Contra Costa	BART		BART Station Modernization Project	13,000	0	0	13,000	0	0	0
Contra Costa-TE	MTC	2118F	TE Reserve (MTC Share)	-2,384	-1,192	-1,192	0	0	0	0
Contra Costa-OBA	Concord		Detroit Ave. Bicycle and Pedestrian Improvements	1,189	0	1,189	0	0	0	0
Contra Costa-OBA	Concord		Concord BART Station Bicycle and Ped. Access Improvements	1,195	0	188	1,007	0	0	0
Contra Costa-TE	CCTA	2118F	TE Reserve (County Share)	-1,486	0	0	0	-1,486	0	0
			Target = $26,752	36,752	-1,192	6,875	11,260	14,071	5,193	545
Marin	TAM	2127C	Planning, programming, and monitoring	246	0	0	0	40	206	0
Marin	MTC	2127	Planning, programming, and monitoring	51	0	0	0	0	25	26
Marin	Caltrans	0342L	MSN Landscape/Mitigation and Soundwall	-3,900	0	-3,900	0	0	0	0
Marin	Caltrans	0342L	MSN San Rafael Irwin Creek/Brookdale	1,655	37	1,618	0	0	0	0
Marin	Caltrans	0360L	MSN Novato Soundwall	2,245	0	2,245	0	0	0	0

Date: December 18, 2013
Attachment A
MTC Resolution No. 4128
Referred by: PAC
Revised: 01/22/14-C

MTC 2014 Regional Transportation Improvement Program

January 8, 2013
(all numbers in thousands)

County	Agency	PPNO	Project	Total	2014 RTIP Funding by Fiscal Year					
					Prior	14-15	15-16	16-17	17-18	18-19
Marin-TE	MTC	2127B	TE Reserve (MTC Share)	-707	-353	-354	0	0	0	0
Marin-OBAG	Fairfax		Parkade Area Circulation Improvement Project	300	0	45	255	0	0	0
Marin-OBAG	Marin County		North Civic Center Drive Improvements	407	0	407	0	0	0	0
Marin-TE	TAM	2127B	TE Reserve (County Share)	0	0	0	0	0	0	0
			Target = $0	297	-316	61	255	40	231	26
Napa	NCTPA	1003E	Planning, programming, and monitoring	165	0	0	0	0	165	0
Napa	MTC	2130	Planning, programming, and monitoring	31	0	0	0	0	15	16
Napa	American Cyn	2130K	Lena Dr and Stenson Dr, Rehabilitation	-268	0	0	-268	0	0	0
Napa	Napa County	2130L	Silverado Tr, Howell Mt, and Denaweal, Rehabilitation	-1,595	0	0	-1,595	0	0	0
Napa	American Cyn	new	Devlin Rd and Vine Trail Extension	1,962	0	0	297	0	1,665	0
Napa	American Cyn	new	Eucalyptus Dr Extension	1,154	0	0	0	0	1,154	0
Napa (+OBAG)	Napa City	new	California Ave Roundabouts	1,501	0	431	1,070	0	0	0
Napa	Calistoga	new	Petrified Forest Rd and SR-128, Intersection Improvements	580	0	0	105	50	425	0
Napa	Yountville	new	Hopper Creek Pedestrian Path (Oak Cir - Mission)	500	0	25	0	75	400	0
Napa	Napa County	new	Airport Blvd Rehabilitation	1,332	0	0	0	57	1,275	0
Napa	St. Helena	new	SR-29 and Grayson Ave, Install traffic signal (State only funds)	300	0	300	0	0	0	0
Napa-TE	MTC	2130B	TE Reserve (MTC Share)	-431	-215	-216	0	0	0	0
Napa-TE	NCTPA	2130J	TE Reserve (County Share)	-267	0	0	-267	0	0	0
			Target = $6,822	4,964	-215	540	-658	182	5,099	16
San Francisco	SFCTA	2007	Planning, programming, and monitoring	667	0	0	0	0	667	0
San Francisco	MTC	2131	Planning, programming, and monitoring	140	0	0	0	0	69	71
San Francisco	SFMTA	new	Central Subway	12,498	0	12,498	0	0	0	0
San Francisco-TE	SFCTA	2007S	TE Reserve (MTC Share)	-1,910	-955	-955	0	0	0	0
San Francisco-OBA	SFDPW		Chinatown Broadway Complete Streets, Phase 4	1,910	0	1,910	0	0	0	0
San Francisco-TE	MTC	2007S	TE Reserve (County Share)	0	0	0	0	0	0	0
			Target = $13,305	13,305	-955	13,453	0	0	736	71
San Mateo	SM C/CAG	2140A	Planning, programming, and monitoring	676	0	0	0	0	338	338
San Mateo	MTC	2140	Planning, programming, and monitoring	145	0	0	0	0	71	74
San Mateo	SM CTA	690A	US-101 Willow Rd Interchange Reconstruction	-20,471	0	0	0	-20,471	0	0
San Mateo	SM CTA	690A	US-101 Willow Rd Interchange Reconstruction	20,471	0	0	0	3,072	17,399	0
San Mateo	Pacifica	632C	SR-1 Calera Parkway Operational Imps. in Pacifica	-6,900	0	-6,900	0	0	0	0
San Mateo	Pacifica	632C	SR-1 Calera Parkway Operational Imps. in Pacifica	6,900	0	0	6,900	0	0	0
San Mateo	SM C/CAG	668D	SR-92 Improvements Phase 2: Env Study for 92/101 IC Imprs	-2,411	0	0	-2,411	0	0	0
San Mateo	SM C/CAG	668D	SR-92 Improvements Phase 2: 92/101 IC Improvements	23,839	0	0	0	2,411	3,217	18,211
San Mateo	SM C/CAG	2140E	Countywide ITS Improvements	-4,298	0	-800	-3,498	0	0	0
San Mateo	SM C/CAG	2140E	Countywide ITS Improvements	4,298	0	0	800	3,498	0	0

MTC 2014 Regional Transportation Improvement Program

January 8, 2013
(all numbers in thousands)

County	Agency	PPNO	Project	Total	2014 RTIP Funding by Fiscal Year					
					Prior	14-15	15-16	16-17	17-18	18-19
San Mateo-TE	MTC	2140C	TE Reserve (MTC Share)	-1,991	-995	-996	0	0	0	0
San Mateo-OBAG	South SF		Grand Blvd Initiative - Complete Streets Project	1,991	0	0	1,991	0	0	0
San Mateo-TE	SM C/CAG	2140L	TE Reserve (County Share)	-1,964	0	-1,964	0	0	0	0
			Target = $21,145	20,285	-995	-10,660	3,782	-11,490	21,025	18,623
Santa Clara	VTA	2255	Planning, programming, and monitoring	1,567	0	0	0	0	784	783
Santa Clara	MTC	2144	Planning, programming, and monitoring	321	0	0	0	0	158	163
Santa Clara	VTA	new	I-680 Soundwall from Capitol to Mueller	4,456	0	0	95	408	94	3,859
Santa Clara	VTA	new	BART Extension from Berryessa to Santa Clara	14,672	0	14,672	0	0	0	0
Santa Clara-TE	MTC	2255B	TE Reserve (MTC Share)	-4,350	0	0	-2,175	-2,175	0	0
Santa Clara-OBAG	Palo Alto		US-101/Adobe Creek Bicycle and Pedestrian Bridge	3,000	0	0	3,000	0	0	0
Santa Clara-OBAG	San Jose		The Alameda "Beautiful Way" Grand Boulevard Phase 2	1,350	0	1,350	0	0	0	0
Santa Clara-TE	VTA	2255	TE Reserve (County Share)	-1,858	0	0	-1,093	-765	0	0
			Target = $19,158	19,158	0	16,022	-173	-2,532	1,036	4,805
Solano	STA	2263	Planning, programming, and monitoring	407	0	0	0	0	203	204
Solano	MTC	2152	Planning, programming, and monitoring	85	0	0	0	0	42	43
Solano	STA	new	Jepson Parkway (Leisure Town from Marshall to Commerce)	9,360	0	0	0	9,360	0	0
Solano-TE	MTC	5152A	TE Reserve (MTC Share)	0	0	0	0	0	0	0
Solano-TE	STA	5152K	TE Reserve (County Share)	0	0	0	0	0	0	0
			Target = $11,108	9,852	0	0	0	9,360	245	247
Sonoma	SCTA	0770E	Planning, programming, and monitoring	504	0	0	0	0	504	0
Sonoma	MTC	2156	Planning, programming, and monitoring	102	0	0	0	0	50	52
Sonoma	Caltrans	0360L	MSN Landscape/Mitigation and Soundwall	-995	0	-995	0	0	0	0
Sonoma	Caltrans	0789F	US-101 HOV Lanes Landscaping (Steele)	-2,180	0	-2,180	0	0	0	0
Sonoma	Caltrans	0789F	US-101 HOV Lanes Landscaping (Steele)	3,277	0	3,277	0	0	0	0
Sonoma-TE	MTC	5156A	TE Reserve (MTC Share)	-1,396	-698	-698	0	0	0	0
Sonoma-OBAG	Santa Rosa		Downtown Santa Rosa Streetscape	353	0	0	353	0	0	0
Sonoma-OBAG	SMART		SMART Bicycle/Pedestrian Pathway	1,043	0	1,043	0	0	0	0
Sonoma-TE	SCTA	5156I	TE Reserve (County Share)	0	0	0	0	0	0	0
			Target = $0	708	-698	447	353	0	554	52
MTC Region			**Regional Target = $132,075**	139,106	-4,371	77,494	21,088	-27,199	35,004	37,090
						73,123	94,211	67,012	102,016	139,106

J:\PROJECT\Funding\RTIP\14 RTIP\[RTIP_2014_Draft_2013-12-17 Jan PAC-Comm.xlsx]2014_List Note: Detail on project programming by year and phase will be submitted to CTC

Date: December 18, 2013
W.I.: 1515
Referred by: PAC

Attachment B
Resolution No. 4128
Page 1 of 1

2014 Regional Transportation Improvement Program (RTIP)

Programming Principles

1. MTC adopted the New Federal Transportation Act Cycle 1 STP/CMAQ Programming (MTC Resolution 3925, Revised), which provided $31 million in RTIP funds freed up by regional American Recovery and Reinvestment Act of 2009 (ARRA) funds (for the SR-24 Caldecott Tunnel Fourth Bore) to Freeway Performance Initiative projects. Of the $31 million, $24 million was programmed in the 2012 STIP, and $7 million will be programmed in the 2014 RTIP. The $7 million in remaining RTIP funds, now proposed for the Freeway Performance Initiative project (or Contra Costa Exchange project(s) for the full $31 million), shall be the highest regional priority for programming after Planning Programming and Monitoring (PPM) in the earliest year possible.

2. As adopted in MTC Resolution No. 4035, Revised (One Bay Area Grant (OBAG) STP/CMAQ Cycle 2 Programming), a total of $18 million of STIP Transportation Enhancement (TE) Reserve was available to the counties for programming as a part of OBAG. Since the federal Moving Ahead for Progress in the 21st Century (MAP-21) Act and the 2014 STIP eliminate TE funding, MTC's commitment of this $18 million in OBAG programming will come from regular STIP funds through the de-programming of MTC's share of STIP TE Reserve. These $18 million in projects shall be the second highest priority for programming after the FPI projects (or Contra Costa Exchange project(s)) described in bullet 1, above.

APPENDIX A – 33

Specific Funding Programs

2012 Regional Transportation Improvement Program (RTIP)
MTC Resolution No. 4038

Date: December 21, 2011
W.I.: 1515
Referred by: PAC
Revised: 01/25/12-C
02/22/12-C
03/28/12-C

ABSTRACT

Resolution No. 4038, Revised

This resolution adopts the 2012 Regional Transportation Improvement Program (RTIP) for fiscal years 2012-13 through 2016-17, for the San Francisco Bay Area for submission to the California Transportation Commission (CTC).

Attachment A – 2012 RTIP project list

Attachment B – 2012 RTIP programming policies

This resolution was revised on January 25, 2012 by Commission action to revise Attachment A – 2012 RTIP project list, to reflect updated programming for projects to include a $1.0 million advance of Sonoma County's RTIP share for the Presidio Parkway (Doyle Drive Replacement).

This resolution was revised on February 22, 2012 by Commission action to revise Attachment A – 2012 RTIP project list, to reflect updated programming for projects in Alameda County to reflect a local funding exchange involving the programming of the Route 84 Expressway in Livermore (Southern Segment) project.

This resolution was revised on March 28, 2012 by Commission action to revise Attachment A of the 2012 RTIP to reduce the San Francisco county share amount for the Doyle Drive Replacement / Presidio Parkway project from $44.8 million to $13 million in response to programming $34 million of regional STP/CMAQ funds to the project. The action also revised Attachment B to commit programming of $34 million in future San Francisco RTIP funds for FPI/Express Lanes, or other regionally selected project, and that it will be the highest priority for future San Francisco RTIP funding after Planning, Programming and Monitoring (PPM) funding and meeting the remaining $88 million commitment to the Central Subway project.

Further discussion of this action is contained in the MTC Programming and Allocations Committee Summary Sheet dated December 14, 2011, January 11, 2012, February 8, 2012, and March 7, 2012.

Date: December 21, 2011
W.I.: 1515
Referred by: PAC

RE: Adoption of 2012 Regional Transportation Improvement Program (RTIP)

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4038

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC has adopted, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC biennially adopts, pursuant to Government Code Section 65080, a Regional Transportation Improvement Program (RTIP) that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, and local governments, a five-year program for the funding made available for highways, roadways and state-funded mass transit guideways and other transit capital improvement projects for inclusion in fiscal years 2012-13 through 2016-17 of the 2012 RTIP ("2012 RTIP"); and

WHEREAS, the 2012 RTIP has been developed consistent with the policies and procedures outlined in MTC Resolution No. 4028, and with the STIP Guidelines adopted by the CTC on August 10, 2011; and

WHEREAS, Attachment A sets forth the project list for the 2012 RTIP and Attachment B sets forth programming policies as a companion to the project list; and

WHEREAS, MTC's Programming and Allocations Committee recommends adoption of the funding for inclusion in fiscal years 2012-13 through 2016-17 of the 2012 RTIP; now, therefore, be it

RESOLVED, that MTC adopts the 2012 RTIP, attached hereto as Attachment A and Attachment B and incorporated herein as though set forth at length, and finds it consistent with the RTP; and, be it further

RESOLVED, that the Executive Director may make adjustments to Attachment 'A' in consultation with the respective Congestion Management Agency (CMA) or County Transportation Planning Agency, to respond to direction from the California Transportation Commission and/or the California Department of Transportation; and, be it further

RESOLVED, that MTC's adoption of the programs and projects in the 2012 RTIP is for planning purposes only, with each project still subject to MTC's project review and application approval pursuant to MTC Resolution Nos. 3115 and 3075; and, be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on December 21, 2011.

Date: December 21, 2011
W.I.: 1515
Referred by: PAC
Revised: 01/25/11-C
02/22/12-C
03/28/12-C

Attachment A
Resolution No. 4038

2012 Regional Transportation Improvement Program (RTIP)

Project List

Date: December 21, 2011
Attachment A
MTC Resolution No. 4038
Referred by: PAC
Revised: 01/25/11-C; 02/22/12-C; 03/28/12-C

Attachment A

MTC 2012 Regional Transportation Improvement Program

March 28, 2012
(all numbers in thousands)

County	Agency	PPNO	Project	Fund Type	Total	2012 RTIP Funding by Fiscal Year					
						Prior	12-13	13-14	14-15	15-16	16-17
Proposed 2012 RTIP - New or Amended Funding in STIP											
Alameda	ACTC	2179	Planning, programming, and monitoring	PPM	**1,206**	0	0	320	0	0	886
Alameda	MTC	2100	Planning, programming, and monitoring	PPM	**257**	0	0	0	0	126	131
Alameda	ACTC	81D	SR-84 Expressway (East-West Connector)	Hwy	**-9,300**	0	0	0	-9,300	0	0
Alameda	Caltrans/CCTA	57J	SR-24 Corridor Landscaping	Hwy	**2,000**	0	400	1,600	0	0	0
Regional	MTC		I-680 Freeway Performance Initiative Project	Hwy	**2,000**	0	0	2,000	0	0	0
Alameda	ACTC	81H	SR-84 Expressway in Livermore (Southern Segment 2)	Hwy	**34,851**	0	0	34,851	0	0	0
Alameda	ACTC	81H	SR-84 Expressway in Livermore (Southern Segment 2) TE	TE	**2,179**	0	0	2,179	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**3,063**	0	0	0	0	0	3,063
Alameda-TE	MTC	2100C	TE Reserve (MTC Share)	TE	**-884**	0	-1,960	538	538	0	0
Alameda-TE	ACTC	2100J	TE Reserve (County Share)	TE	**0**	0	0	0	0	0	0
			Target = $35,372, TE Target = $4,358		**35,372**	0	-1,560	41,488	-8,762	126	4,080
Contra Costa	CCTA	2011O	Planning, programming, and monitoring	PPM	**831**	0	0	0	0	222	609
Contra Costa	MTC	2118	Planning, programming, and monitoring	PPM	**167**	0	0	0	0	82	85
Contra Costa	BART		East Contra Costa BART Extension (eBART)	PTA	**13,000**	0	0	0	0	13,000	0
Contra Costa	Hercules		Hercules Intermodal Transit Center, Station Building	PTA	**5,100**	0	0	0	0	5,100	0
Contra Costa	BART		Walnut Creek BART TOD Intermodal	PTA	**5,300**	0	0	0	0	5,300	0
Contra Costa	CCTA		I-80/San Pablo Dam Rd. Interchange Reconstruction	Hwy	**15,000**	0	10,300	4,700	0	0	0
Contra Costa	CCTA		I-680 SB HOV Gap Closure, N. Main St to Livorna Rd.	Hwy	**5,557**	0	0	0	5,557	0	0
Contra Costa	CCTA	0192G	SR-4 Interchange Improvements in Antioch	Hwy	**-19,450**	0	-19,450	0	0	0	0
Contra Costa	CCTA		I-680 Auxiliary Lanes Segment 2 (Sycamore-Crow Canyon)	Hwy	**19,450**	0	19,450	0	0	0	0
Regional	MTC		I-680 Freeway Performance Initiative Project	Hwy	**29,000**	0	0	29,000	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**2,090**	0	0	0	0	0	2,090
Contra Costa-TE	MTC	2118F	TE Reserve (MTC Share)	TE	**-603**	0	-1,270	333	334	0	0
Contra Costa-TE	CCTA	2118F	TE Reserve (County Share)	TE	**1,486**	0	0	0	0	0	1,486
			Target = $76,928, TE Target = $2,973		**76,928**	0	9,030	34,033	5,891	23,704	4,270
Marin	TAM	2127C	Planning, programming, and monitoring	PPM	**226**	0	-140	200	0	0	166
Marin	MTC	2127	Planning, programming, and monitoring	PPM	**47**	0	0	0	0	23	24
Marin	MCTD	2128A	Marin Transit Bus Stop Improvements	PTA	**100**	0	100	0	0	0	0
San Francisco	Caltrans	619A	Doyle Drive Replacement (Presidio Parkway) Availability	Hwy	**0**	0	-4,000	0	4,000	0	0
Marin	Marin Co.		Miller Creek Bicycle Lanes and Pedestrian Improvements	TE	**407**	0	45	0	0	362	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**571**	0	0	0	0	0	571
Marin-TE	MTC	2127B	TE Reserve (MTC Share)	TE	**-165**	0	-371	102	104	0	0
Marin-TE	TAM	2127B	TE Reserve (County Share)	TE	**0**	0	0	0	0	0	0
			Target = $0, TE Target = $813		**1,186**	0	-4,366	302	4,104	385	761

Date: December 21, 2011
Attachment A
MTC Resolution No. 4038
Referred by: PAC
Revised: 01/25/11-C; 02/22/12-C; 03/28/12-C

MTC 2012 Regional Transportation Improvement Program

March 28, 2012
(all numbers in thousands)

County	Agency	PPNO	Project	Fund Type	Total	2012 RTIP Funding by Fiscal Year					
						Prior	12-13	13-14	14-15	15-16	16-17
Napa	NCTPA	1003E	Planning, programming, and monitoring	PPM	**314**	0	45	45	45	69	110
Napa	MTC	2130	Planning, programming, and monitoring	PPM	**29**	0	0	0	0	14	15
Napa	Caltrans	376	SR 221/29 Intersection Improvements	Hwy	**0**	0	0	0	0	0	0
Napa	Caltrans	367J	SR-12 Jameson Canyon Widening Replacement Lanscaping	Hwy	**0**	0	-850	850	0	0	0
Napa	Calistoga		Berry-Cedar-Washington Pavement Rehabilitation	LSR	**165**	0	165	0	0	0	0
Napa	St. Helena		E. Charter Oak Pavement Rehabilitation	LSR	**191**	0	191	0	0	0	0
Napa	Napa		Trower-Central Pavement Rehabilitation	LSR	**1,606**	0	1,606	0	0	0	0
Napa	American Cyn		Lena-Stenson Pavement Rehabilitation	LSR	**268**	0	268	0	0	0	0
Napa	Napa Co.		Silverado Trail Ph. G and H Pavement Rehabilitation	LSR	**1,595**	0	1,595	0	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**376**	0	0	0	0	0	376
Napa-TE	MTC	2130B	TE Reserve (MTC Share)	TE	**-109**	0	-230	60	61	0	0
Napa-TE	NCTPA	2130J	TE Reserve (County Share)	TE	**267**	0	0	0	0	267	0
			Target = $4,702, TE Target = $534		**4,702**	0	2,790	955	106	350	501
San Francisco	SFCTA	2007	Planning, programming, and monitoring	PPM	**608**	0	0	0	161	0	447
San Francisco	MTC	2131	Planning, programming, and monitoring	PPM	**131**	0	0	0	0	64	67
San Francisco	Caltrans	619A	Doyle Drive Replacement (Presidio Parkway) Milestone	Hwy	**13,000**	0	13,000	0	0	0	0
San Francisco-TE	SF MTA		San Francisco Pedestrian Safety & Encouragement Campaign	TE	**851**	0	851	0	0	0	0
San Francisco-TE	SF MTA		San Francisco Crosswalk Conversion Project	TE	**250**	0	0	250	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**1,548**	0	0	0	0	0	1,548
San Francisco-TE	SFCTA	2007S	TE Reserve (MTC Share)	TE	**-447**	0	-1,003	278	278	0	0
San Francisco-TE	MTC	2007S	TE Reserve (County Share)	TE	**0**	0	0	0	0	0	0
			Target = $13,114, TE Target = $2,202		**15,941**	0	12,848	528	439	64	2,062
San Mateo	SM C/CAG	2140A	Planning, programming, and monitoring	PPM	**627**	0	0	0	0	165	462
San Mateo	MTC	2140	Planning, programming, and monitoring	PPM	**136**	0	0	0	0	67	69
San Mateo	SM CTA	702A	US-101 Broadway Interchange	Hwy	**19,000**	0	0	19,000	0	0	0
San Mateo	SM CTA	690A	US-101 Willow Rd Interchange Reconstruction	Hwy	**1,471**	0	-20,471	1,471	20,471	0	0
San Mateo	Caltrans	669B	SR-98 Slow Vehicle Lane Improvements (grf)	Hwy	**-12,540**	0	0	0	-12,540	0	0
San Mateo	Pacifica	632C	SR-1 Calera Parkway Operational Imps. in Pacifica	Hwy	**0**	0	0	6,900	-6,900	0	0
San Mateo	San Mateo		SR-92 Improvements Phase 1: Op Imprs at 92/ECR IC	Hwy	**5,000**	0	0	0	0	0	5,000
San Mateo	SM C/CAG		SR-92 Improvements Phase 2: Env Study for 92/101 IC Imprs	Hwy	**2,411**	0	0	0	0	2,411	0
San Mateo	SM C/CAG	2140E	Countywide ITS Improvements	Hwy	**2,321**	0	-1,977	0	4,298	0	0
San Mateo	Caltrans	2140F	Smart Corridor, Segment 3 to Santa Clara Co. (State)	Hwy	**515**	0	515	0	0	0	0
San Mateo	SM C/CAG	2140F	Smart Corridor, Segment 3 to Santa Clara Co. (Local)	Hwy	**1,462**	0	1,462	0	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**1,598**	0	0	0	0	0	1,598
San Mateo-TE	MTC	2140C	TE Reserve (MTC Share)	TE	**-461**	0	-1,041	289	291	0	0
San Mateo-TE	SM C/CAG	2140L	TE Reserve (County Share)	TE	**1,137**	0	-1,000	-745	1,745	1,137	0
			Target = $22,677, TE Target = $2,274		**22,677**	0	-22,512	26,915	7,365	3,780	7,129

Date: December 21, 2011
Attachment A
MTC Resolution No. 4038
Referred by: PAC
Revised: 01/25/11-C; 02/22/12-C; 03/28/12-C

MTC 2012 Regional Transportation Improvement Program

March 28, 2012
(all numbers in thousands)

County	Agency	PPNO	Project	Fund Type	Total	2012 RTIP Funding by Fiscal Year Prior	12-13	13-14	14-15	15-16	16-17
Santa Clara	VTA	2255	Planning, programming, and monitoring	PPM	**1,681**	0	0	0	0	628	1,053
Santa Clara	MTC	2144	Planning, programming, and monitoring	PPM	**300**	0	0	0	0	147	153
Santa Clara-TE	Campbell		Hacienda Avenue Improvements	TE	**544**	0	0	544	0	0	0
Santa Clara-TE	San Jose		St. John Street Multimodal Improvements Ph. 1	TE	**1,500**	0	0	0	1,500	0	0
Santa Clara-TE	San Jose		Park Avenue Multimodal Improvements	TE	**1,456**	0	0	0	1,456	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**3,632**	0	0	0	0	0	3,632
Santa Clara-TE	MTC	2255B	TE Reserve (MTC Share)	TE	**-1,050**	0	-2,296	623	623	0	0
Santa Clara-TE	VTA	2255	TE Reserve (County Share)	TE	**-918**	0	0	-3,041	-459	1,291	1,291
			Target = $0, TE Target = $5,164		**7,145**	0	-2,296	-1,874	3,120	2,066	6,129
Solano	STA	2263	Planning, programming, and monitoring	PPM	**372**	0	0	0	0	98	274
Solano	MTC	2152	Planning, programming, and monitoring	PPM	**79**	0	0	0	0	39	40
Solano	STA		Jepson (Vanden/Peabody/Leisure Town segement)	Hwy	**8,296**	0	0	0	0	8,296	0
Solano-TE	STA		West B Street Bike/Ped Undercrossing (Dixon)	TE	**1,321**	0	1,321	0	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**945**	0	0	0	0	0	945
Solano-TE	MTC	5152A	TE Reserve (MTC Share)	TE	**-272**	0	-601	164	165	0	0
Solano-TE	STA	5152K	TE Reserve (County Share)	TE	**-649**	0	-649	0	0	0	0
			Target = $10,092, TE Target = $1,345		**10,092**	0	71	164	165	8,433	1,259
Sonoma	SCTA	0770E	Planning, programming, and monitoring	PPM	**468**	0	-373	373	0	125	343
Sonoma	MTC	2156	Planning, programming, and monitoring	PPM	**95**	0	0	0	0	47	48
Sonoma	Caltrans	0789E	US-101 College Ave (supplemental)	Hwy	**550**	550	0	0	0	0	0
San Francisco	Caltrans	0619A	Presidio Parkway (Doyle Drive Replacement) Availability	Hwy	**1,000**	0	0	0	1,000	0	0
Sonoma-TE	Windsor		Windsor Old Redwood Highway Ped Enhancements	TE	**609**	0	112	497	0	0	0
Sonoma-TE	SMART		SMART Multi-Use Pathway SC-IOS	TE	**3,000**	0	0	3,000	0	0	0
Regional-TE	BATA/CT/CTC	9051A	Improved Bike/Ped Connectivity to East Span of Bay Bridge	TE	**1,177**	0	0	0	0	0	1,177
Sonoma-TE	MTC	5156A	TE Reserve (MTC Share)	TE	**-340**	0	-732	196	196	0	0
Sonoma-TE	SCTA	5156I	TE Reserve (County Share)	TE	**-885**	-669	-64	0	-152	0	0
			Target = $0, TE Target = $1,675		**5,674**	-119	-1,057	4,066	1,044	172	1,568
MTC Region			**Regional Totals: Target = $162,885, TE Target = $21,338**		**179,717**	-119	-7,052	106,577	13,472	39,080	27,759
				cumulative:			-7,171	99,406	112,878	151,958	179,717

Note: Detail on project programming by year and phase will be submitted to CTC

Date: December 21, 2011
W.I.: 1515
Referred by: PAC
Revised: 03/28/12-C

Attachment B
Resolution No. 4038
Page 1 of 1

2012 Regional Transportation Improvement Program (RTIP)

Programming Principles

1. MTC adopted the New Federal Transportation Act Cycle 1 STP/CMAQ Programming (MTC Resolution 3925, Revised), which provided $31 million in RTIP funds freed up by regional American Recovery and Reinvestment Act of 2009 (ARRA) funds (for the SR-24 Caldecott Tunnel Fourth Bore) to Freeway Performance Initiative projects. The $31 million in RTIP funds freed up by regional ARRA funds, now proposed for the Freeway Performance Initiative project, shall be the highest regional priority for programming beyond the region's funding target STIP funding after Planning Programming and Monitoring (PPM) in the earliest year possible.

2. As adopted in MTC Resolution No. 3925, Revised (STP/CMAQ Cycle 1 Programming) on March 28, 2012, $34 million of future San Francisco RTIP funds shall be programmed to the Freeway Performance Initiative (FPI)/Express Lanes, or other regionally selected project. The programming of these projects from San Francisco's county share shall be the highest priority for future San Francisco RTIP funding after Planning, Programming and Monitoring (PPM) funding and meeting the remaining $88 million commitment to the Central Subway project.

APPENDIX A – 34

Specific Funding Programs

FTA New Freedom (Section 5317)
Cycle 5 Program of Projects

MTC Resolution No. 4135

Date: March 26, 2014
W.I.: 1518
Referred by: PAC

ABSTRACT
Resolution No. 4135

This resolution adopts the Federal Transit Administration (FTA) New Freedom (Section 5317) Cycle 5 Program of Projects for the large urbanized areas of the San Francisco Bay Area.

The following attachment is provided with this resolution:

Attachment A New Freedom Cycle 5 Program of Projects for Large Urbanized Areas

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheet dated March 5, 2014.

Date: March 26, 2014
W.I.: 1518
Referred by: PAC

Re: New Freedom Cycle 5 Program of Projects for Large Urbanized Areas

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION No. 4135

WHEREAS, the United States Code Title 49 Section 5317 (49 U.S.C. 5317) authorizes and sets forth the provisions for the New Freedom Program, which makes grants to recipients for addressing the transportation needs of disabled persons through the provision of new services and facility improvements that go beyond those required by the Americans with Disabilities Act; and

WHEREAS, 49 U.S.C. 5317(c) apportions New Freedom funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, 49 U.S.C. 5317(d) requires designated recipients of New Freedom funds to conduct a competitive process to award grants to subrecipients; and

WHEREAS, pursuant to Government Code Section 66500 et seq., the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, consistent with 49 U.S.C. 5307(a)(2), MTC is the designated recipient of New Freedom Program funding apportionments for large urbanized areas in the nine-county San Francisco Bay Area; and

WHEREAS, as the designated recipient, MTC has conducted a competitive selection process and developed for submittal to the Federal Transit Administration (FTA) a program of projects (POP) for the San Francisco Bay Area's large urbanized area New Freedom Program FY2012 apportionments, attached hereto as Attachment A, and incorporated herein as though set forth at length; and

WHEREAS, MTC has adopted Resolution No. 4116, which sets forth MTC's Program Guidelines for Cycle 5 of the of the New Freedom Program; and

WHEREAS, MTC conducted the competitive selection processes for the New Freedom large urbanized area apportionment in accordance with those guidelines; now, therefore, be it

RESOLVED, that MTC adopts the New Freedom Cycle 5 Program of Projects for large urbanized areas as listed in Attachment A; and be it further

RESOLVED, that MTC will submit to FTA a grant application to secure the New Freedom funding for those agencies listed as subrecipients in Attachment A who are not able to submit a grant application to FTA themselves; and be it further

RESOLVED, that MTC will enter into agreements with those agencies listed as subrecipients in Attachment A to ensure their compliance with all applicable Federal requirements; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Amy Rein Worth, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on March 26, 2014.

Date: March 26, 2014
W.I.: 1518
Referred by: PAC

Attachment A
MTC Resolution No. 4135
Page 1 of 3

NEW FREEDOM PROGRAM - CYCLE 5
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS

No.	Project Sponsor	Project		Federal New Freedom Recommended Share
		Name	Description	
MTC Subrecipients				
1	Sonoma County Area Agency on Aging	Sonoma Access Coordinated Transportation Services (SACTS)	This initiative serves to enhance countywide coordinated transportation services and mobility management. SACTS includes the Sonoma Access One Call/One Click transportation resource center, engaging the community partner consortium, conducting outreach, education, and coordinating activities to enhance and create innovative transportation options.	89,572
2	Outreach & Escort, Inc.	Above & Beyond through Coordination (ABC) Project	Provides one call/one click access to a range of transportation options.	446,731
3	Center for Independent Living	Mobility Matters: A Mobility Management Hub Project	Mobility Management project to coordinate a family of services at the consumer level to increase the use of transit related services by people with disabilities. The project will coordinated travel training, adaptive technology consultations; assistance with completing regional transit card applications; information and referral; mobility device training; mobility management partners coordination; openstreetmap.org for Alameda County; education activities; safety workshops; travel training smartphone app; trip planning; wheelchair securement.	358,745
4	City of Richmond	R-Transit $5 Same Day 24/7 Transportation Service	Continues R-Transit pilot $5 same day 24/7 transportation service with wheelchair accessible vehicles for residents with disabilities and seniors living in specified areas of western Contra Costa County.	37,500
5	Senior Helpline Services	Rides for Seniors and Transportation Information & Referrals	SHS provides free one-on-one, escorted, door-through-door rides for medical care and basic necessities to otherwise homebound seniors in Contra Costa and Alameda counties, as well as transportation information and referral services.	166,055
6	Lamorinda Spirit Van Program, City of Lafayette	Lamorinda Spirit Van Program for Fragile Elderly and Disabled Seniors	The Lamorinda Spirit Van Program provides seniors, age 60 and up (primarily serving ages 80 to 100), with transportation to essential errands including: medical/personal appointments, shopping, the nutrition program, and special events.	51,974

NEW FREEDOM PROGRAM - CYCLE 5
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS
(continued)

No.	Project Sponsor	Project		Federal New Freedom Recommended Share
		Name	Description	
MTC Subrecipients				
7	Rehabilitation Services of Northern Califomia	Mt. Diablo Mobilizer	The Mt. Diablo Mobilizer provides door-through-door transportation to health and social services for frail low-income seniors and others with disabilities, as well as trips to grocery shopping and other basic needs.	32,722
8	MTC	Program Administration/ Mobility Management Roadmap Study	MTC's setaside for program administration and providing technical assistance. The Roadmap Study will document next steps toward implementation of the mobility management and coordination strategies recommended in the Coordinated Public Transit—Human Services Transportation Plan Update for the Bay Area.	200,332
			Subtotal – MTC Subrecipients	***$1,383,631***

NEW FREEDOM PROGRAM - CYCLE 5
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS
(continued)

No.	Project Sponsor	Project		Federal New Freedom Recommended Share
		Name	Description	
Direct Recipients				
9	County Connection (CCCTA	Contra Costa Mobility Management Program Implementation	Implement Phase II and III of the recommendations listed in the Contra Costa County Mobility Management Plan. This includes the formation of a mobility management oversight board, the retention of a mobility manager, and beginning coordination with existing agencies within the County	100,000
10	SamTrans	Peninsula Rides Mobility Management Activities	Expansion and enhancement of mobility management activities of the Senior Mobility Initiative, including MM website; support for personalized Information & Referral; expanding volunteer driver program; establishing a Veterans Mobility Corps; updating the mobility guide	102,746
11	AC Transit	Marketing Mobility Management Through 211	Market and publicize the Alameda County 211 website and toll free phone service, which houses a database of paratransit information in Alameda County. Coordinated mobility management will be provided by 211 staff, including detailed and targeted transportation recommendations for seniors and the disabled.	240,000
12	Marin Transit	Expanded Coordination of Transportation Resources & Services to Isolated Populations	Expanded Coordination of Transportation Resources: creates and evaluates plans to encourage non-profit transportation providers to coordinate services and improves taxi service. Services to Isolated Populations: expands group and individual travel training programs, and funds a pilot "traditional model" volunteer driver program to provide escorted transportation.	160,436
13	Livermore-Amador Valley Transportation Authority (LAVTA)	LAVTA Parataxi Project 2014	A reimbursement based system, offering a taxicab ride as a transportation alternative to traditional paratransit.	16,500
			Subtotal - Direct Recipients	$619,682
			Total	$2,003,313

APPENDIX A – 35

Specific Funding Programs

FTA New Freedom (Section 5317)
Cycle 4 Program of Projects

MTC Resolution No. 4041

Date: November 16, 2011
W.I.: 1518
Referred by: PAC

ABSTRACT
Resolution No. 4041

This resolution adopts the Federal Transit Administration (FTA) New Freedom (Section 5317) Cycle 4 Program of Projects for the large urbanized areas of the San Francisco Bay Area.

The following attachment is provided with this resolution:

Attachment A New Freedom Cycle 4 Program of Projects for Large Urbanized Areas

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheet dated November 9, 2011.

Date: November 16, 2011
W.I.: 1518
Referred by: PAC

Re: New Freedom Cycle 4 Program of Projects for Large Urbanized Areas

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION No. 4041

WHEREAS, the United States Code Title 49 Section 5317 (49 U.S.C. 5317) authorizes and sets forth the provisions for the New Freedom Program, which makes grants to recipients for addressing the transportation needs of disabled persons through the provision of new services and facility improvements that go beyond those required by the Americans with Disabilities Act; and

WHEREAS, 49 U.S.C. 5317(c) apportions New Freedom funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, 49 U.S.C. 5317(d) requires designated recipients of New Freedom funds to conduct a competitive process to award grants to subrecipients; and

WHEREAS, pursuant to Government Code Section 66500 et seq., the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, consistent with 49 U.S.C. 5307(a)(2), MTC is the designated recipient of New Freedom Program funding apportionments for large urbanized areas in the nine-county San Francisco Bay Area; and

WHEREAS, as the designated recipient, MTC has conducted a competitive selection process and developed for submittal to the Federal Transit Administration (FTA) a program of projects (POP) for the San Francisco Bay Area's large urbanized area New Freedom Program FY2010 and FY2011 apportionments, attached hereto as Attachment A, and incorporated herein as though set forth at length; and

WHEREAS, MTC has adopted Resolution No. 4012, which sets forth MTC's Program Guidelines for Cycle 4 of the of the New Freedom Program; and

WHEREAS, MTC conducted the competitive selection processes for the New Freedom large urbanized area apportionment in accordance with those guidelines; now, therefore, be it

RESOLVED, that MTC adopts the New Freedom Cycle 4 Program of Projects for large urbanized areas as listed in Attachment A; and be it further

RESOLVED, that MTC will submit to FTA a grant application to secure the New Freedom funding for those agencies listed as subrecipients in Attachment A who are not able to submit a grant application to FTA themselves; and be it further

RESOLVED, that MTC will enter into agreements with those agencies listed as subrecipients in Attachment A to ensure their compliance with all applicable Federal requirements; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on November 16, 2011.

Date: November 9, 2011
W.I.: 1518
Referred by: PAC

Attachment A
MTC Resolution No. 4041
Page 1 of 5

NEW FREEDOM PROGRAM - CYCLE 4
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS

No.	Project Sponsor	Project		Total Project Cost	Federal New Freedom Recommended Share
		Name	Description		
MTC Subrecipients					
1	City of Alameda	Accessible Pedestrian Signal Installations	The project will install Accessible Pedestrian Signals (APS) at approximately nine intersections that are adjacent to an AC Transit bus stop or a City of Alameda Paratransit Shuttle stop.	$188,625	$150,900
2	Alameda County Transportation Commission	Alameda County Mobility Management	Coordinate elements and resources already present in Alameda County related to travel training, and information and referral to move towards a more full-fledged mobility management approach in Alameda County. Tasks include the following: (1) Transition the paratransit hotline and AccessAlameda.org website into a much more thorough Information and Referral source and position those services to provide one-stop-shopping for consumers; (2) Establish quarterly coordination meetings among travel trainers across the County and create a framework to provide travel training throughout the whole County. Create a print and web resource available listing all travel training in the County.	$110,000	$80,000
3	Center for Independent Living	Mobility Matters	Continue and expand Mobility Matters, a travel and mobility device training program. Provide program outreach and conduct travel and mobility device training to a full spectrum of individuals and families form the cross-disability community. Services are offered across the Bay Area.	$490,935	$384,360
4	City of Lafayette	Lamorinda Spirit Van Program for Fragile Elderly and Disabled Seniors	Provide van service to assist the fragile elderly in remaining in their own homes as they age, thereby allowing them to participate more fully in the community which lessens isolation and improves socialization. Train drivers to meet the specialized needs of the passengers, including: persons who use canes, walkers, and wheelchairs; persons who are ambulatory but have balance and medical challenges and cannot walk to bus stops or even from the door to the street to meet a CCCTA paratransit van without assistance; persons with vision and hearing challenges; persons with dementia who need supervision when going out in the community.	$228,426	$114,213

NEW FREEDOM PROGRAM – CYCLE 4
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS
(continued)

No.	Project Sponsor	Project		Total Project Cost	Federal New Freedom Recommended Share
		Name	Description		
MTC Subrecipients (continued)					
5	LightHouse for the Blind and Visually Impaired	Accessible Muni Metro Station Maps (AMMSM)	Develop and distribute a booklet of accessible maps of the eight (8) San Francisco Muni Metro underground stations to facilitate safe and more effective travel for individuals who are blind or visually impaired.	$104,134	$83,307
6	Marin Transit	Countywide Transportation Guide	Produce and distribute a printed county-wide transportation guide. This guide will be available in both English and Spanish and will feature transportation options by city, town or area of the county. The guide will also be available in fully-accessible formats on both the Marin Transit and Marin Access websites.	$28,544	$22,835
7	Marin Transit	Pilot Premium ADA Transportation Service / Marin Access Mobility Center	(1) Partially subsidized rides that can be scheduled as early as the same day for ADA eligible riders. (2) Continue and expand the Marin Transit Marin Access Mobility Management Center.	$541,456	$288,881
8	Outreach & Escort Inc.	Together We Ride	Using mobility management best practices, provide a menu of services beyond the requirements of the ADA that address the transportation needs of veterans, individuals with developmental disabilities, and other persons with disabilities. Components include: (1) Employment Transportation; (2) Center-Based Travel Instruction (travel training targeted at specific destinations); (3) Prioritized ride scheduling and coordinated vehicle sharing with paratransit and other human service transportation providers; (4) Vehicle Share Program (donate retired paratransit vehicles to partner organizations); (5) County-to-County travel (expand ADA travel area for job trips in adjoining counties outside SC County); (6) Friendly Rides (Volunteer driver & ridesharing support).	$1,859,736	$929,868
9	Peninsula Jewish Community Center	Get Up & Go	Escorted Transportation and socialization program serving San Mateo County older adults who can no longer drive due to disability or frailty.	$259,800	$103,920

NEW FREEDOM PROGRAM – CYCLE 4
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS
(continued)

No.	Project Sponsor	Project		Total Project Cost	Federal New Freedom Recommended Share
		Name	Description		
MTC Subrecipients (continued)					
10	Rehab. Services of Northern California	Mt. Diablo Center Mobilizer	Provide door through door transportation to and from the Mt. Diablo Center (MDC) Adult Day Health Care program Monday through Friday and a nutrition/shopping shuttle for homebound senior Concord residents during MDC's program hours.	$129,760	$64,880
11	City of Richmond Paratransit	R•Transit 24/7/365 same-day door-to-door service for the greater Richmond area (1)	The pilot R•Transit project is a 24/7/365 same-day door-to-door wheelchair accessible transportation service for residents with disabilities and seniors living in the City of Richmond and the unincorporated communities of East Richmond Heights, El Sobrante, Kensington, North Richmond, and Rollingwood. The service will be for local trips only and rides will be shared whenever possible to keep cost down. The service area will include the cities of El Cerrito, Pinole (up to Appian Way), Richmond and San Pablo and the unincorporated communities of Bayview - Montalvin, East Richmond Heights, El Sobrante, Kensington, North Richmond, Rollingwood, and Tara Hills.	$201,548	$100,774
12	City of San Leandro	Accessible Pedestrian Signals	Upgrade pedestrian signals at approximately 13 signalized intersections by installing Accessible Pedestrian Signal (APS) devices for individuals with disabilities and the general public.	$163,733	$130,987
13	Senior Helpline Services	Rides for Seniors / Transportation Information and Referral (2)	(1) Continue providing, to our current otherwise homebound clients (seniors age 60 and older) residing in Contra Costa County, free, one-on-one, escorted, door-through-door rides primarily for medical care and basic necessities. (2) Formalize Transportation Information and Referrals service.	$215,852	$141,075
			Subtotal - MTC Subrecipients	***$4,522,549***	***$2,596,000***

NEW FREEDOM PROGRAM – CYCLE 4
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS
(continued)

No.	Project Sponsor	Project		Total Project Cost	Federal New Freedom Recommended Share
		Name	Description		
Direct Recipients					
14	AC Transit	Intra-Vehicle Text-Based Message Signs (IVTMS)	Purchase and install rolling text-based LED signs, to be mounted on the interior of AC Transit's revenue vehicle fleet. The LED signs would have the capability to display bus stop location information similar to automated audio announcements.	$250,000	$200,000
15	BART / City CarShare	AccessMobile Program Expansion	Purchase, convert and deploy at least three (3) additional wheelchair-accessible carshare vehicles, known as AccessMobile minivans, and conduct the requisite awareness and outreach campaigns necessary to ensure that we attract and best serve a larger group of Bay Area residents.	$360,280	$254,674
16	Livermore Amador Valley Transit Authority	Bus Stop Improvements	Accessibility enhancements at bus stops, including installation of bus pads and cross-walks, and improving and/or replacing curbs, gutters, and sidewalks.	$110,000	$88,000
17	Livermore Amador Valley Transit Authority	ParaTaxi Program	A reimbursement-based taxi program to all LAVTA ADA certified paratransit patrons. Service area is in the Cities of Dublin and Pleasanton within Alameda County.	$32,800	$16,400
18	San Francisco Municipal Transp. Agency	Accessible Light Rail Stops (3)	Hire a consultant to identify a total of ten locations on the J, K, L, M and N light rail lines where existing boarding islands can be converted to wheelchair accessible stops with ramps and "mini-high" boarding platforms. Perform preliminary engineering for the identified stop locations.	$250,000	$200,000
19	San Mateo County Transit District	Peninsula Rides Implementation and Development Activities (4)	Provide mobility management services, including (1) continuing and expanding the Mobility Ambassador Program; (2) updating and distributing the Senior Mobility Guide.	$264,225	$211,380

NEW FREEDOM PROGRAM – CYCLE 4
PROGRAM OF PROJECTS FOR LARGE URBANIZED AREAS
(continued)

No.	Project Sponsor	Project		Total Project Cost	Federal New Freedom Recommended Share
		Name	Description		
Direct Recipients (continued)					
20	City of Santa Rosa, Transit Dept.	Sonoma Access One Call/One Click Transportation Resource Center	Implement a One Call/One Click Transportation Resource Center, as an initial step in implementing Mobility Management in Sonoma County. Using Marin Access' call center and website as a model, establish a call center and accessible, bilingual web site providing referrals, service availability, trip planning and travel training schedules for paratransit, fixed route and human service agencies in Sonoma County. Every effort will be made to mirror and link to Marin County's call center and website to expand Marin's effort into a regional resource.	$233,041	$186,443
			Subtotal - Direct Recipients	*$1,500,346*	*$1,156,897*
			Total	$6,022,895	$3,752,897

Notes:
1. Fund two years of three-year request if the following conditions are met: (1) MTC approves the contractor payment method, (2) Richmond sets and MTC agrees to a maximum number of R-Transit trips per rider per month; (3) Richmond tracks and reports on the number of persons with disabilities who use the R-Transit service.
2. Project sponsor to track the number of persons being served in West County.
3. Funds to be used only for preliminary engineering and environmental clearance. Planning & outreach are not eligible uses of NF funds, unless planning for MM.
4. Fund two components: (1) Ambassadors: $174,400; (2) Guide: $36,980.

APPENDIX A – 36

Specific Funding Programs

MTC's FTA Section 5307 and FTA Section 5309
Fixed Guideway Program of Projects
for FY2009-10 through FY2011-12

MTC Resolution No. 3916

Date: July 22, 2009
W.I.: 1512
Referred By: PAC
Revised: 04/28/10-C 05/26/10-C
06/22/11-C 11/16/11-C
01/25/12-C 09/26/12-C
04/24/13-C

ABSTRACT

Resolution No. 3916, Revised

This resolution approves the FY 2009-10 through FY 2011-12 FTA Section 5307 and FTA Section 5309 Fixed Guideway (FG) programs for inclusion in the 2009 Transportation Improvement Program (TIP).

This resolution was revised on April 28, 2010 to reprogram $17.5 million in Section 5307 funds from SFMTA to AC Transit as part of funding exchange with CMAQ funds.

This resolution was revised on May 26, 2010 to reconcile the FY 2009-10 program with the final FY 2009-10 FTA apportionments, and to program the FY 2010-11 and FY 2011-12 Vehicle Procurement Reserve to BART ($80 million) and Caltrain ($70 million) for their rail car replacement projects.

This resolution was revised on June 22, 2011 to reconcile the FY 2010-11 program with the final FY 2011 FTA apportionments, implement an exchange of $17.5 million in CMAQ funds programmed to AC Transit's Bus Rapid Transit project for FTA preventive maintenance funding, and transfer $5 million from Caltrain's Railcar Replacement project to preventive maintenance.

This resolution was amended on November 16, 2011 to reconcile the FY 2011-12 program with revised estimates of FY 2012 FTA apportionments prior to amending the program into the TIP. The revisions address a potential $38 million revenue shortfall by withholding Flexible Set-Aside funds, deferring projects and making other program reductions; and also reprogram funds previously programmed to Vallejo in FY 2011 and FY 2012 to Solano County Transit (SolTrans) to reflect the merger of Benicia and Vallejo transit services under SolTrans.

This resolution was amended on January 25, 2012 to program an additional $10 million of FY 2011-12 FTA Section 5307 funds for AC Transit's Preventive Maintenance. The funds had been

held in reserve pending AC Transit Board action responding to recommendations adopted by the Commission as part of MTC Resolution Nos. 3831 and 3880, Revised.

This resolution was revised on September 26, 2012 to reconcile the FY 2011-12 program with the final FY 2012 FTA apportionments, reprogram approximately $27.4 million from Caltrain Railcar Replacement to Caltrain Advanced Signal System, and make other fund transfers between projects.

This resolution was revised on April 24, 2013 to reflect several transfers of funding between eligible projects and deferral of projects to future years.

Further discussion of the FTA program of projects is contained in the Programming and Allocations Committee summary sheets dated July 8, 2009, April 14, 2010, May 12, 2010, June 8, 2011 November 9, 2011, January 11, 2012, September 12, 2012 and April 10, 2013.

Date: July 22, 2009
W.I.: 1512
Referred By: PAC

RE: San Francisco Bay Area Regional Transit Capital Priorities

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3916

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of priorities for transit capital projects; and

WHEREAS, MTC is the designated recipient of the Federal Transit Administration (FTA) Section 5307 and 5309 Fixed Guideway funds for the large urbanized areas of San Francisco-Oakland, San Jose, Concord, Antioch, and Santa Rosa and have been authorized by the California Department of Transportation (Caltrans) as the representative for the Governor of the State of California to program the FTA Section 5307 small urbanized area funds of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill, and Petaluma in MTC's 2009 Federal Transportation Improvement Program; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators and with Caltrans in the region to establish priorities for the transit capital projects to be included in the TIP; and

WHEREAS, the process and criteria used in the selection and ranking of such projects are set forth in MTC Resolution No. 3908; and

WHEREAS, the projects to be included in the TIP are set forth in the detailed project listings in Attachments A, which are incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the FY 2009-10 through FY 2011-12 Transit Capital Priorities program of projects to be included in the TIP as set forth in Attachments A; and, be it further

RESOLVED, that MTC will use the priorities set forth in Attachments A to program sources of federal, state, regional and local funds to finance the projects; and, be it further

RESOLVED, that the Executive Director or designee is authorized to revise Attachment A as necessary to reflect the programming of projects as the projects are revised in the TIP; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California on July 22, 2009.

Revised: 04/28/10-C 05/26/10-C
06/22/11-C 11/16/11-C
01/25/12-C 09/26/12-C
04/24/13-C

FY 2009-10 FTA Section 5307 and 5309 Fixed Guideway Program				
TIP ID	**Operator**	**Project Description**	**FTA Section 5307**	**FTA Section 5309 FG**
		Actual Apportionment	**216,919,567**	**130,450,055**
		Previous Year Carryover	**20,293,167**	**942,966**
		Funds Available for Programming	**237,212,734**	**131,393,021**
ADA Set-Aside				
ALA990076	AC Transit	ADA Operating Assistance	7,558,073	
SCL991060	Caltrain	Caltrain/ACE Santa Clara Train Station	532,072	
BRT99T001B	BART	ADA Capital - Enhancements	3,126,281	
REG090051	Caltrain	Revenue Vehicle Rehab Program	1,085,980	
CC-99T001	CCCTA	ADA Operating Assistance	704,352	
CC-030035	ECCTA	ADA Operating Assistance	516,738	
MRN090036	GGBHTD	Bus Stop Improvement Project	1,182,151	
ALA990077	LAVTA	ADA Operating Assistance	304,627	
NAP030004	Napa Vine	ADA Operating Assistance	24,368	
SF-990022	SFMTA	ADA Operating Assistance	3,959,075	
SM-990026	SamTrans	ADA Operating Assistance	1,052,641	
SOL990040	Vallejo Transit	ADA Operating Assistance	612,433	
SCL050046	VTA	ADA Operating Assistance	3,739,578	
CC-990045	WestCat	ADA Operating Assistance	114,450	
Flexible Set-Aside				
ALA991070	AC Transit	Preventive Maintenance	2,100,836	
REG050010	BART	General Mainline Renovation	5,403,640	
SCL991060	Caltrain	Caltrain/ACE Santa Clara Train Station	241,032	
REG090051	Caltrain	Revenue Vehicle Rehab Program	856,275	
CC-030034	CCCTA	Preventative Maintenance	359,871	
CC-030037	ECCTA	Preventive Maintenance Program	279,856	
CC-050029	ECCTA	Park and Ride Facility Land Purchase - Security Project	66,439	
REG090052	GGBHTD	SF Bus Lot Modifications	752,470	
ALA030030	LAVTA	Preventive Maintenance	252,627	
NAP970010	Napa	Operating Assistance	195,292	
SON090009	Petaluma	Preventative Maintenance	14,829	
SF-050026	SFMTA	Escalator Rehab		5,488,564
SM090019	SamTrans	Service Support Vehicles	257,600	
SM030023	SamTrans	Preventive Maintenance	385,409	
SON030005	Sonoma County Transit	Preventive Maintenance	29,816	
ALA030031	Union City	Existing Bus Pkg,Concrete Pkwy	24,245	
SOL050039	Vallejo Transit	Revenue Vehicle Replacement	358,222	
REG090048	Vallejo	Replace Supervisor Vehicles	64,800	
REG090049	Vallejo	Replace Maintenance Vehicles	151,200	
SCL990046	VTA	Preventive Maintenance	3,970,535	
CC-090038	WestCat	Mobile column bus Lifts - Maintenance	62,132	
REG090050	WETA	Preventative Maintenance	82,029	
Economic Reserve				
ALA991070	AC Transit	Preventive Maintenance	4,948,878	
SCL991060	Caltrain	Caltrain/ACE Santa Clara Train Station	732,662	
REG090051	Caltrain	Revenue Vehicle Rehab Program	586,776	
REG090053	Caltrain	Preventative Maintenance	943,292	
CC-030037	ECCTA	Preventive Maintenance Program	190,254	
REG090052	GGBHTD	SF Bus Lot Modifications	2,315,918	
ALA030030	LAVTA	Preventive Maintenance	580,921	
NAP970010	Napa	Operating Assistance	540,712	
SON090009	Petaluma	Preventative Maintenance	16,404	
SF-050026	SFMTA	Escalator Rehab		311,436
SF-090032	SFMTA	TEP Capital Implementation Program	4,899,251	
SF-090031	SFMTA	Preventive Maintenance	7,000,000	
SM030023	SamTrans	Preventive Maintenance	1,961,777	
SON030005	Sonoma County	Preventive Maintenance	74,255	
ALA090031	Union City	Bus Replacement (2)	17,000	
ALA070062	Union City	Purchase Six (6) CNG Buses	41,971	
ALA030031	Union City	Existing Bus Pkg,Concrete Pkwy	15,000	
SOL030019	Vallejo/Benicia	Preventive Maintenance	1,425,789	
SCL990046	VTA	Preventive Maintenance	8,971,810	
REG090050	WETA	Preventative Maintenance	64,411	
		Total Program Set-asides and Commitments	**75,747,250**	**5,800,000**
		Funds Available for Programming	**161,465,484**	**125,593,021**

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06/22/11-C 11/16/11-C
01/25/12-C 09/26/12-C
04/24/13-C

FY 2009-10 FTA Section 5307 and 5309 Fixed Guideway Program

TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG
Capital Projects				
ALA990052	AC Transit	Paratransit Van Leasing	1,672,800	
ALA991070	AC Transit	Preventive Maintenance	45,459,113	
ALA090060	ACE	Rebuild Diesel Locomotives	763,107	
BRT030004	BART	Train Control		13,000,000
BRT030005	BART	Traction Power	3,075,781	9,924,219
BRT97100B	BART	Track Replacement Rehabilitation		13,000,000
BRT030005	BART	Replacement of Fixed Guideway Elements & Fare Collection Equipment		2,520,000
SCL991060	Caltrain	Caltrain/ACE Santa Clara Train Station	1,460,000	
SM-050041	Caltrain	Signal/ Communication Rehabilitation & Upgrades		4,500,000
SM-03006B	Caltrain	Systemwide Track Rehabilitation & Related Structures		8,770,000
CC-050038	CCCTA	Replace Vans	3,895,160	
CC-070092	ECCTA	1997 Transit Bus Replacement	5,705,553	
CC-090039	ECCTA	Translink Fareboxes	68,444	
SOL010006	Fairfield	Operating Assistance	2,740,773	
~~MRN090024~~	~~GGBHTD~~	~~Replace 30 - 1998 40' Transit Buses~~	~~11,778,870~~	
MRN090026	GGBHTD	Replace 6 Paratransit Vans	372,204	
MRN090022	GGBHTD	Replace 2 Paratransit Vans	163,548	
MRN090021	GGBHTD	Replace 2 Paratransit Vans	124,068	
MRN030011	GGBHTD	Ferry Major Component Replacement	4,000,000	
MRN090025	GGBHTD	Ferry Propulsion	1,860,000	
ALA090035	LAVTA	Replace 3 Paratransit Vehicles of 2002 Vintange	353,580	
NAP970010	Napa	Operating Assistance	748,632	
SON090010	Petaluma	Bus Replacement	638,508	
SON090009	Petaluma	Preventive Maintenance	213,856	
SF-950037B	SFMTA	Rail Replacement Projects		8,640,000
SF-970170	SFMTA	Overhead Rehabilitation Projects		9,140,000
SF-050024	SFMTA	Wayside Train Control Equipment Rehab and Replacment		1,500,000
SF-030013	SFMTA	Wayside Fare Collection Equipment Rehab and Replacement		6,300,000
SF-070045	SFMTA	Trolley Car Replacement	7,694,836	26,542,057
SF-99T005	SFMTA	Historic Vehicle Rehabilitation		6,800,000
SF-970073	SFMTA	Cable Car Vehicle Renovation		1,050,000
SM050036	SamTrans	Replacement of up to 73-40 ft and 64-35 ft buses	4,571,918	
SM030023	SamTrans	Preventive Maintenance	3,506,371	
SON030011	Santa Rosa	Operating Assistance	1,318,170	
SON090024	Santa Rosa	Preventive Maintenance	1,631,298	
SON030012	Santa Rosa	Bus Stop Enhancements	34,754	
SON070020	Santa Rosa	Hybrid Electric Bus Purchase (Replacement)	612,874	
SON010024	Sonoma County	Bus Replacement	142,126	
SON050021	Sonoma County	Bus Stop Improvement Project	11,585	
SON030005	Sonoma County	Preventive Maintenance	1,175,929	
SOL010007	Vacaville	Operating Funds	493,315	
SOL991099	Vacaville	Purchase Transit Equipment - Fareboxes and Tools	100,000	
SOL090026	Vacaville	Vacaville: Replace 5 Medium-Duty CNG Buses	1,816,000	
SOL050040	Vallejo	Replace Diesel buses with Hybrid Electrics	3,684,800	
SOL090011	Vallejo	Ferry mid-life Repower	11,264,000	
SCL050045	VTA	ADA Bus Stop Improvements	417,618	
SCL990046	VTA	Preventive Maintenance	24,826,384	
SCL090039	VTA	Security Improvements for Light Rail	439,084	
SCL050002	VTA	Rail Rehabilitation & Replacement on Guadalupe Light Rail System		2,301,750
SCL050049	VTA	Traction Power Substation Replacement on Guadalupe Light Rail		4,050,000
REG090054	WETA	Harbor Bay Dredging	60,000	
REG090057	WETA	Ferry Major Component	432,000	
REG090056	WETA	Floats & Gangways	776,000	
REG090055	WETA	Ferry Propulsion Systems	2,412,000	
		Total Capital Projects	**140,330,389**	**116,038,026**
		Total Program	**216,077,639**	**121,838,026**
		Fund Balance	**21,135,096**	**9,554,995**

Notes:

1) Operators in the Santa Rosa , Fairfield, and Vacaville Urbanized Areas did not wish to participate in the ADA or 10% flexible set-aside prorgramming elements, and operators in the Napa and Petaluma UAs do not participate in the ADA set-aside.

2) AC Transit exchanged $22,446,863 for repalcement of 49 45' suburban buses and $8,897,914 for replacement of 18 45' OTR coaches for $31,344,777 in preventive maintenance. The buses will be procured with I-bond funds.

3) SamTrans exchanged $2,045,371, part of the funding for replacement of up to 91-40 foot buses, 40-35 foot buses, and 4-30 foot buses, for preventive maintenance. The buses will be partially funded with ARRA funds.

4) Sonoma County Transit exchanged $215,390 for replacement of one 40' CNG bus in exchange for preventive maintenance. The bus will be procured with ARRA funds.

5) Petaluma deferred replacement of 8 cutaways in exchange for $238,447 in preventive maintenance in FY10. Due to insufficient funds in Petaluma UA, $105,522 from Bus Replacement and $87,980 in Van Replacement transferred to PM in FY10. Bus and van funds to be restored in FY11.

6) GGBHTD deferred 11,778,870 for bus replacement to FY15. Funds will have priority for programming in FY15 as a prior-year obligation.

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FY 2010-11 FTA Section 5307 and 5309 Fixed Guideway Program

TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG
		Actual Apportionment	**216,504,664**	**132,223,176**
		Previous Year Carryover	**9,819,979**	**8,901,518**
		Funds Available for Programming	**226,324,643**	**141,124,694**
ADA Set-Aside				
ALA990076	AC Transit	ADA Operating Assistance	4,339,305	
ALA010056	ACE	ACE Track Improvements	553,354	
BRT99T01B	BART	ADA Capital - Enhancements	3,251,332	
REG090051	Caltrain	Revenue Vehicle Rehab Program	1,129,418	
CC-99T001	CCCTA	ADA Operating Assistance	732,526	
CC-030035	ECCTA	ADA Operating Assistance	537,405	
MRN090033	GGBHTD	ADA Operating Assistance	1,229,437	
ALA990077	LAVTA	ADA Operating Assistance	311,817	
NAP030004	Napa Vine	ADA Operating Assistance	24,436	
SF-990022	SFMTA	ADA Operating Assistance	4,117,438	
SM-990026	SamTrans	ADA Operating Assistance	1,094,747	
SOL990040	Vallejo Transit	ADA Operating Assistance	624,614	
SCL050046	VTA	ADA Operating Assistance	3,884,698	
CC-990045	WestCat	ADA Operating Assistance	119,028	
Economic Reserve				
SM-050005	BART	Preventive Maintenance	12,599,452	
CC-030034	CCCTA	Preventative Maintenance	827,797	
CC-030037	ECCTA	Preventive Maintenance	263,844	
REG090050	WETA	Ferry Major Component	64,411	
Vehicle Procurement Reserve				
REG050020	BART	BART Car Replacement Exchange Preventive Maintenance	25,940,067	
REG090037	BART	Railcar Replacement	7,284,799	
		Total Program Set-asides and Commitments	**68,930,125**	**0**
		Funds Available for Programming	**157,394,518**	**141,124,694**
Capital Projects				
ALA990052	AC Transit	Paratransit Van Leasing	1,706,256	
ALA991070	AC Transit	Preventive Maintenance	34,500,000	
ALA010056	ACE	ACE Track Improvements	1,460,000	
BRT030004	BART	Train Control		13,000,000
BRT030005	BART	Traction Power		13,000,000
BRT97100B	BART	Track Replacement Rehabilitation	2,496,035	10,503,965
ALA090065	BART	Replacement of Fixed Guideway Elements and Fare Collection Equipment	2,520,000	
SM-03006B	Caltrain	Systemwide Track Rehabilitation & Related Structures		12,940,248
SM-050041	Caltrain	Signal/ Communication Rehabilitation & Upgrades		329,752
REG090053	Caltrain	Preventive Maintenance	5,000,000	
CC-030034	CCCTA	Preventive Maintenance	5,468,170	
CC-070092	ECCTA	Transit Bus Replacements	5,263,853	
SOL010006	Fairfield	Operating Assistance	2,497,847	
MRN090034	GGBHTD	Replace 30 - 1997 45' Over-the-Road Buses	15,264,600	
MRN090035	GGBHTD	Replace 7 paratransit vans	445,669	
~~MRN990017~~	~~GGBHTD~~	~~Ferry Dredging~~	~~2,000,000~~	
~~MRN990025~~	~~GGBHTD~~	~~Ferry Propulsion~~	~~3,660,000~~	
NAP970010	Napa	Operating Assistance	1,438,183	
SON090030	Petaluma	Electronic Fareboxes	120,000	
SON090029	Petaluma	2 Van Replacement	180,940	
SON090010	Petaluma	Preventive maintenance	193,502	

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04/24/13-C

FY 2010-11 FTA Section 5307 and 5309 Fixed Guideway Program

TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG
SF-99T005	SFMTA	Historic Vehicle Rehabilitation		10,000,000
SF-970073	SFMTA	Cable Car Vehicle Renovation		1,102,500
SF-090035	SFMTA	Paratransit Van Replacement	1,945,341	
SF-070046	SFMTA	Rehab 170 Neoplan Motor Coaches	4,800,000	
SF-070045	SFMTA	Trolley Car Replacement		20,000,000
SF-95037B	SFMTA	Rail Replacement	4,026,555	14,040,000
SF-970170	SFMTA	Overhead Rehabilitation		14,040,000
SF-050024	SFMTA	Wayside Train Control Equipment Rehab and Replacement		7,500,000
SF-030013	SFMTA	Wayside Fare Collection Equipment Rehab and Replacement		700,000
SM-030023	SamTrans	Preventive Maintenance	5,092,763	
SM-090042	SamTrans	Replacement of 10 2007 Minivans	403,930	
SON030011	Santa Rosa	Operating Assistance	1,318,170	
SON090024	Santa Rosa	Preventive Maintenance	1,634,486	
SON030012	Santa Rosa	Bus Stop Enhancements	34,694	
SON070020	Santa Rosa	Hybrid Electric Bus Purchase (Replacement)	482,559	
SON050021	Sonoma County	Bus Stop Improvement Project	11,565	
SON030005	Sonoma County	Preventive Maintenance	1,145,068	
ALA090061	Union City	Replacement of Four (4) Transit Buses	1,658,276	
ALA090064	Union City	Replacement of Two (2) Transit Buses	854,758	
SOL010007	Vacaville	Operating Funds	973,000	
SOL97AM70	Vacaville	Bus Shelters	400,000	
SOL090028	SolTrans	Communication Upgrades (AVL, GPS, and other)	1,728,000	
SOL090029	SolTrans	Bus Radio(s) replacement	94,000	
SOL090030	SolTrans	Vault Receiver	88,000	
SOL090031	SolTrans	Bill Counters	8,000	
SOL090032	SolTrans	Public Address System	28,000	
SOL090033	SolTrans	Bus Maintenance Facility Renovation	800,000	
SCL050002	VTA	Rail Rehabilitation & Replacement		1,683,000
SCL090044	VTA	TP OCS Rehab & Replacement		6,098,250
SCL050049	VTA	TP Substation Replacement		4,767,000
SCL050045	VTA	ADA Bus Stop Improvements	442,846	
SOL010006	VTA	Preventive Maintenance	36,432,424	
CC-090060	WestCAT	Revenue Vehicle Replacement	1,015,640	
CC-110046	WestCAT	Bus Wash	150,000	
CC-110047	WestCAT	Vehicle Rehab	180,585	
REG090054	WETA	Harbor Bay Dredging	200,000	
REG090057	WETA	Ferry Major Component	336,000	
REG090055	WETA	Ferry Propulsion Systems	1,600,000	
REG110020	WETA	Facilities Rehabilitation	200,000	
REG090067	WETA	Fixed Guideway Connectors	1,344,000	
		Total Capital Projects	**147,981,715**	**129,704,715**
		Total Program	**216,911,840**	**129,704,715**
		Fund Balance	**9,412,803**	**11,419,979**

Notes:

1) Operators in the Napa and Petaluma UAs do not participate in the ADA set-aside.
2) The 10% Flexible Set-Aside was not programmed in FY11 due to apportionment shortfalls in FY11 and projected shortfalls in FY12.
3) AC Transit exchanged $20,000,000 for replacement of 68 low-floor 40' buses for preventive maintenance. The buses will be procured with I-bond funds. $3,000,000 of the preventive maintenance funding was deferred to FY12.
4) AC Transit exchanged $17,500,000 in CMAQ programmed to its BRT project for $17,500,000 in 5307 for preventive maintenance. CMAQ funds were reprogrammed to SFMTA's Central Subway; $17.5M I-Bond funds were transferred from Central Subway to BART's Fixed Guidway projects, which will be reduced by $17.5M in TCP funds in FY12.
5) Caltrain exchanged $5,000,000 in FY12 funding for Railcar Replacement for preventive maintenance in FY11. The Railcar funding will be replaced by Caltrain using non-TCP funds. The region will not replace the $5 million, meaning that the share of regional participation in car replacement will decrease by $5 million.
6) CCCTA deferred replacement of 10 40' buses from FY11 to FY23 in exchange for $5,466,170 in preventive maintenance.
7) Petaluma deferred replacement of 8 cutaways in exchange for $238,447 in preventive maintenance in FY10. Due to insufficient funds in Petaluma UA, $105,522 from Bus Replacement and $87,980 in Van Replacement transferred to PM in FY10. Funds were restored in FY11 as preventive maintenance; the vehicles were purchased with local funds.
8) SFMTA deferred $20,000,000 programmed in FY11 and $4,159,333 programmed in FY12 for replacement of 45 40' NABI buses to FY13 in exchange for $4,026,555 for Rail Replacement.
9) SamTrans deferred replacement of 62 1998 Gillig buses to FY12 and 10 to FY23 in exchange for $5,092,763 in preventive maintenance.
10) Sonoma County Transit exchanged $400,000 for replacement of one 40' CNG bus in exchange for preventive maintenance. The bus will be procured with ARRA funds.
11) WestCAT deferred $3,326,130 for replacement of 9 out of 11 40' buses from FY11 to FY13 in exchange for $276,500 to upgrade the two remaining buses to 45' OTR coaches, $150,000 for a bus wash, and $180,585 for vehicle rehabs.
12) Unobligated funds programmed to Vallejo were reprogrammed to SolTrans as part of the consolidation of Benicia and Vallejo transit services under SolTrans.
13) GGBHTD deferred $5,660,000 for fixed guideway projects to FY15. Funds will have priority for programming in FY15 as a prior-year obligation.

FY 2011-12 FTA Section 5307 and 5309 Fixed Guideway Program

TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG
		Actual Apportionment	**212,023,119**	**130,670,026**
		Previous Year Carryover	**8,254,868**	**11,419,979**
		Funds Available for Programming	**220,277,987**	**142,090,005**
ADA Set-Aside				
ALA990076	AC Transit	ADA Operating Assistance	3,961,150	
ALA050042	ACE	~~ADA Operating Assistance Preventive Maintenance~~	506,887	
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improve	2,972,888	
REG090051	Caltrain	Revenue Vehicle Rehab Program	1,045,789	
CC-99T001	CCCTA	ADA Operating Assistance	672,718	
CC-030035	ECCTA	ADA Operating Assistance	487,639	
MRN99T001	GGBHTD	ADA Operating Assistance	448,918	
ALA990077	LAVTA	ADA Operating Assistance	295,715	
MRN110047	MCTD	ADA Set-aside	673,378	
NAP030004	Napa Vine	ADA Operating Assistance	24,070	
SF-990022	SFMTA	ADA Operating Assistance	3,758,618	
SM-990026	SamTrans	ADA Operating Assistance	999,343	
SOL990040	SolTrans	ADA Operating Assistance	593,943	
SCL050046	VTA	ADA Operating Assistance	3,638,697	
CC-990045	WestCat	ADA Operating Assistance	108,655	
Economic Reserve				
CC-110080	ECCTA	~~Preventive Maintenance Capital Maintenance-Fuel~~	278,564	
C-030025	WestCat	Preventative Maintenance	148,362	
REG110020	WETA	Facilities Rehabilitation	64,411	
Vehicle Procurement Reserve				
REG090037	BART	Railcar Replacement	36,775,134	10,000,000
REG050020	BART	BART Car Exchange Preventive Maintenance	22,979,594	1,000,000
REG110030	Caltrain	Advanced Signal System	18,589,069	8,844,200
		Total Program Set-asides and Commitments	**99,021,542**	**19,844,200**
		Funds Available for Programming	**121,256,445**	**122,245,805**
Capital Projects				
ALA990052	AC Transit	Paratransit Van Leasing	1,740,381	
ALA991070	AC Transit	Preventive Maintenance	22,191,982	
ALA090060	ACE	Rebuild Diesel Locomotives	1,460,000	
BRT030005	BART	Traction Power	5,208,318	6,791,682
BRT97100B	BART	Track Replacement Rehabilitation	692,310	11,307,690
ALA090065	BART	Replacement of Fixed Guideway Elements and Fare Collection Equipment		20,000
SM-03006B	Caltrain	Systemwide Track Rehabilitation & Related Structures		13,270,000
REG090053	Caltrain	Preventive Maintenance	3,333,333	1,666,667
CC-110061	CCCTA	Replace (10) 40' buses - Hybrid	5,627,420	
CC-110062	CCCTA	Replace (4) LINK Vans	371,840	
CC-110063	CCCTA	Replace (4) Minivans	173,556	
CC-070092	ECCTA	Transit Bus Replacements	2,774,881	
CC-090039	ECCTA	Clipper Fareboxes	136,464	
CC-050029	ECCTA	Park and Ride Facility Land Purchase - Security Project	0	
SOL010006	Fairfield	Operating Assistance	2,374,911	
MRN110027	GGBHTD	Replace 2 - 1998 45' Over-the-Road Buses	1,048,234	
MRN110028	GGBHTD	Replace 3 - 2005 paratransit vans	195,897	
~~MRN030010~~	~~GGBHTD~~	~~Fixed Guideway Connectors~~	~~1,000,000~~	
~~MRN030011~~	~~GGBHTD~~	~~Ferry Major Component Replacement~~	~~400,000~~	
~~MRN000025~~	~~GGBHTD~~	~~Ferry Propulsion~~	~~4,260,000~~	
LA030030	LAVTA	Preventative Maintenance	116,780	
LA110095	LAVTA	East Bay Radio Communication System Hookup	512,000	
A110096	LAVTA	Capital Maintenance-Fuel	128,132	
NP970010	Napa	Operating Assistance	1,442,265	
ON110032	Petaluma	Communication Equipment	46,371	

Revised: 04/28/10-C 05/26/10-C
06/22/11-C 11/16/11-C
01/25/12-C 09/26/12-C
04/24/13-C

FY 2011-12 FTA Section 5307 and 5309 Fixed Guideway Program				
TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG
SF-99T005	SFMTA	Historic Vehicle Rehabilitation		13,146,553
SF-970073	SFMTA	Cable Car Vehicle Renovation		1,157,625
SF-090035	SFMTA	Paratransit Van Replacement	206,824	
SF-070046	SFMTA	Rehab 170 Neoplan Motor Coaches	4,800,000	
SF-070045	SFMTA	Trolley Car Replacement	1,174,792	18,825,208
SF-950037B	SFMTA	Rail Replacement		20,290,000
SF-99T002	SFMTA	Cable Car System Rehabilitation		3,076,000
SF-970170	SFMTA	Overhead Rehabilitation		2,064,000
SF-050024	SFMTA	Wayside Train Control Equipment Rehab and Replacement		10,150,000
SF-030013	SFMTA	Wayside Fare Collection Equipment Rehab and Replacement		700,000
SM-110056	SamTrans	Capital Maintenance-Fuel	3,346,604	
SON030011	Santa Rosa CityBus	Operating Assistance	1,318,170	
SON090024	Santa Rosa CityBus	Preventive Maintenance	1,614,506	
SON030012	Santa Rosa CityBus	Bus Stop Enhancements	33,761	
SON110045	Santa Rosa	Capital Maintenance - Fuel	409,670	
SOL110026	SolTrans	Coin Counter Machine	7,200	
SOL110033	SolTrans	Capital Maintenance - Fuel	320,606	
SON070024	Sonoma County Transit	Bus Replacement	1,565,233	
SON030005	Sonoma County	Preventive Maintenance	135,000	
SON050021	Sonoma County Transit	Bus Stop Improvement Project	11,254	
SOL010007	Vacaville	Operating Funds	983,000	
SCL050045	VTA	ADA Bus Stop Improvements	460,559	
SCL990046	VTA	Preventive Maintenance	38,286,489	
SCL050002	VTA	Rail Replacement Program		2,586,048
SCL090044	VTA	TP OCS Rehab & Replacement		2,209,701
SCL050049	VTA	Rail Substation Rehab/Replacement		978,000
SCL110099	VTA	Light Rail Bridge and Structure - SG Repair		1,360,000
SCL110100	VTA	Kinkisharyo LRV Overhaul Program		1,029,600
SCL110101	VTA	LRV Body Shop Dust Separation Wall		436,000
SCL110102	VTA	LRV Maintenance Shop Hoist		2,749,856
SCL110105	VTA	LR Signal Assessment / SCADA System Replacement		2,800,000
SCL110104	VTA	Light Rail Track Crossovers and Switches		579,578
SCL110103	VTA	Update Santa Teresa Interlock Signal House		688,000
CC-110057	WestCat	Revenue Vehicle Replacement	1,857,205	
CC-110058	WestCAT	Service Vehicle Replacement	31,721	
REG090057	WETA	Ferry Major Component Rehab/Replacement		1,655,000
REG090054	WETA	Ferry Channel & Berth Dredging		200,000
REG090067	WETA	Fixed Guideway Connectors		825,000
		Total Capital Projects	**106,137,669**	**120,562,208**
		Total Program	**205,159,211**	**140,406,408**
		Fund Balance	**15,118,776**	**1,683,597**

Notes:

1) Operators in the Santa Rosa , Fairfield, and Vacaville Urbanized Areas did not wish to participate in the ADA or 10% flexible set-aside programming elements, and operators in the Napa and Petaluma UAs do not participate in the ADA set-aside.
2) AC Transit deferred $3,000,000 for preventive maintenance from FY11 to FY12 and exchanged $19,191,982 for bus replacements for PM in FY12. $10,000,000 in PM released to AC Transit as a result of meeting conditions specified in MTC Resolutions 3831, 3880 and 3916 revised June 2011.
3) Caltrain exchanged $37,433,269 in FY12 for Railcar Replacement for $5,000,000 preventive maintenance in FY11, $5,000,000 preventive maintenance in FY12, and $27,433,269 for Advanced Signal System in FY12. The region will not replace $10 million of the rail car funds, i.e, the share of regional participation in Car Replacement will be reduced by $10,000,00.
4) SFMTA deferred $20,000,000 programmed in FY11 and $4,159,333 programmed in FY12 for replacement of 45 40' NABI buses to FY13 in exchange for $4,026,555 for Rail Replacement in FY11.
5) SamTrans deferred $24,745,874 for replacement of 62 1998 Gillig Buses from FY12 to FY13 in exchange for $2,115,216 for Advanced Communication System (ACS) Upgrades.
6) Sonoma County Transit exchanged $135,000 in partial funding for bus replacement for an equal amount in Preventive Maintenance. The bus procurement will be completed with Prop. 1B, TDA/STA and Air District funds.
7) WestCAT deferred $380,657 for replacement of one 40' bus to FY13 in exchange for $31,721 for replacement of one service vehicle.
8) AC Transit exchanged $17,500,000 in CMAQ programmed to its BRT project for $17,500,000 in 5307 for preventive maintenance in FY11. CMAQ funds were reprogrammed to SFMTA's Central Subway; $17.5M I-Bond funds were transferred from Central Subway to BART's Fixed Guidway projects, which were reduced by $17.5M in TCP funds in FY12.
9) WETA deferred $1,000,000 of fixed guideway cap funding to FY13.
10) Unobligated funds programmed to Vallejo were reprogrammed to SolTrans as part of the consolidation of Benicia and Vallejo transit services under SolTrans.
11) VTA used its FY12 fixed guideway project cap of $9,450,000 and $6,176,383 of its FY13 fixed guideway project cap for fixed guideway projects in FY12. VTA's fixed guideway project cap in the FY13 program will be reduced by $6,176,383.
13) GGBHTD deferred $5,660,000 for fixed guideway projects to FY15. Funds will have priority for programming in FY15 as a prior-year obligation.

APPENDIX A – 37

Specific Funding Programs

San Francisco Bay Area Transit Capital Priorities
(FTA Sections 5307, 5309, 5337 and 5339)
Program of Projects for FY 2012-13 and FY 2013-14

MTC Resolution No. 4084

Date: January 23, 2013
W.I.: 1512
Referred By: PAC
Revised: 02/27/13-C 04/24/13-C
05/22/13-C 09/25/13-C
02/26/14-C 04/23/14-C

ABSTRACT

Resolution No. 4084, Revised

This resolution approves the FY2012-13 and FY2013-14 Transit Capital Priorities preliminary program of projects for inclusion in the Transportation Improvement Program (TIP). The program includes projects funded with FTA Section 5307 Urbanized Area, Section 5309 Fixed Guideway Modernization, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities.

This Resolution includes the following attachment:

Attachment A – FY2012-13 and FY2013-14 Program of Projects

This resolution was amended on February 27, 2013 to transfer $2 million in Section 5307 funds from an SFMTA bus replacement project to BART's enterprise asset management system project. The funding for the SFMTA project will be replaced with FTA Section 5309 Bus discretionary funds.

This resolution was revised on April 24, 2013 to reflect several transfers of funding between eligible projects and deferral of projects to future years.

This resolution was revised on May 22, 2013 to program previously reserved funds for ACE, Caltrain, and the Solano County operators, to program additional funding for AC Transit and SFMTA bus replacement projects, and to make program revisions to reconcile to final FY2012-13 FTA apportionments.

This resolution was revised on September 25, 2013 to make minor revisions to the Transit Capital Priorities program for FY2012-13 and FY2013-14 to reconcile the program to final FTA apportionments.

This resolution was revised on February 26, 2014 to make revisions to the FY2013-14 Transit Capital Priorities program to transfer funds from two existing AC Transit Bus Procurement projects to a new AC Transit Farebox Replacement project; and to transfer funds from two existing WETA Fixed Guideway projects to an existing WETA Ferry Replacement project. The resolution was also revised to program FY 2013-14 5307 funds to Lifeline Transportation Program projects to replace JARC funds that lapsed.

This resolution was revised on April 23, 2014 to make program revisions to reconcile the program to final FY2013-14 apportionments released by FTA and to make additional changes requested by operators that were consistent with the TCP policy.

Further discussion of the Transit Capital Priorities program of projects is contained in the Programming and Allocation Committee Executive Director memorandum dated January 9, 2013, and the Programming and Allocation Committee summary sheet dated February 13, 2013, April 10, 2013, May 8, 2013, September 11, 2013, February 12, 2014, and April 9, 2014.

Date: January 23, 2013
W.I.: 1512
Referred By: PAC

RE: San Francisco Bay Area Regional Transit Capital Priorities

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 4084

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of priorities for transit capital projects; and

WHEREAS, MTC is the designated recipient of the Federal Transit Administration (FTA) Section 5307 Urbanized Area, Section 5309 Fixed Guideway Modernization, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities funds for the large urbanized areas of San Francisco-Oakland, San Jose, Concord, Antioch, and Santa Rosa, and has been authorized by the California Department of Transportation (Caltrans) to select projects and recommend funding allocations subject to state approval for the FTA Section 5307 and Section 5339 small urbanized area funds of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill, and Petaluma in MTC's Federal Transportation Improvement Program; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators and with Caltrans in the region to establish priorities for the transit capital projects to be included in the TIP; and

WHEREAS, the process and criteria used in the selection and ranking of such projects are set forth in MTC Resolution No. 4072; and

WHEREAS, the projects to be included in the TIP are set forth in the detailed project listings in Attachment A, which are incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the FY2012-13 and FY 2013-14 Transit Capital Priorities program of projects to be included in the TIP as set forth in Attachments A; and, be it further

RESOLVED, that the Executive Director or designee is authorized to revise Attachment A as necessary to reflect the programming of projects as the projects are revised in the TIP; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California on January 23, 2013.

FY 2012-13 Transit Capital Priorities / Transit Capital Rehabilitation Program

TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG	FTA Section 5337	FTA Section 5339
		Actual Apportionments	206,676,575	0	167,541,738	12,658,679
		Previous Year Carryover	36,464,600	1,683,596	0	0
		Funds Available for Programming	243,141,175	1,683,596	167,541,738	12,658,679
Lifeline Set-Aside (JARC Projects)						
TBD	TBD	Reserved for projects included in the Lifeline Transportation Program Cycle 3 (MTC Resolution No. 4053, Revised).	3,456,429			
ADA Operating Set-Aside						
ALA990076	AC Transit	ADA Set-aside	3,933,205			
ALA050042	ACE	Preventive Maintenance	503,096			
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improve	2,962,267			
SM-050040	Caltrain	ADA Set-aside	947,742			
CC-99T001	CCCTA	ADA Set-aside	667,479			
CC-030035	ECCTA	ADA Set-aside	522,888			
MRN090033	GGBHTD	ADA Set-aside	445,751			
ALA990077	LAVTA	ADA Set-aside	302,768			
MRN110047	Marin Transit	ADA Set-aside	668,627			
NAP030004	Napa VINE	ADA Set-aside	29,557			
SM-990026	SamTrans	ADA Set-aside	992,293			
SF-990022	SFMTA	ADA Set-aside	3,732,102			
SOL110025	SolTrans	ADA Set-aside	665,421			
SCL050046	VTA	ADA Set-aside	3,124,039			
CC-990045	WestCat	ADA Set-aside	107,889			
Prior-Year Commitments - Projects Deferred from FY2011-12						
REG090067	WETA	Ferry Fixed Guideway Connectors - Main Street Terminal	1,000,000			
		Total Program Set-asides and Commitments	24,061,553	0	0	0
		Funds Available for Capital Programming	219,079,622	1,683,596	167,541,738	12,658,679
Capital Projects						
ALA010034	AC Transit	CAD/AVL	5,000,000			
ALA010034	AC Transit	Radio communication system	5,000,000			
ALA990052	AC Transit	Paratransit Van Leasing	1,433,386			
ALA110116	AC Transit	(51) Diesel Particulate Filters for 30' Buses	795,225			
REG110044	ACE	Positive Train Control (PTC)	1,664,400			
BRT030004	BART	Train Control			13,000,000	
BRT030005	BART	Traction Power			13,000,000	
BRT97100B	BART	Rail, Way, and Structures Program		726,392	12,273,608	
ALA090065	BART	Fare Collection Equipment			6,067,914	
REG050020	BART	BART Car Exchange Preventive Maintenance	11,753,191		60,246,809	
REG090037	BART	Railcar Replacement			500,000	
ALA110090	BART	Enterprise Asset Management System	2,000,000			
SM-010054	Caltrain	San Mateo Bridges Replacement			4,507,581	
SM-050041	Caltrain	Caltrain: Signal/Communication Rehab. & Upgrades			1,153,437	
SM-110076	Caltrain	Caltrain TVM Replacement			980,000	
REG110030	Caltrain	Positive Train Control/Electrification - RESERVED			4,258,982	
CC-110095	CCCTA	CCCTA: Replace 7 30' Buses	1,999,441			840,438
CC-110096	CCCTA	CCCTA: Replace 6 22' Paratransit Vans	401,592			
CC-110097	CCCTA	CCCTA: Replace 4 Paratransit Minivans	180,236			
CC-110098	CCCTA	Purchase and Install 40 Electric Cooling Fans	200,000			
CC-070092	ECCTA	Replace Ten, 2001 40' Gilligs	4,774,603			
CC-070092	ECCTA	Replace Two, 2007 Cheverolet Minivans				
CC-070092	ECCTA	Replace One, 2003 DR Cutaway/Van	89,787			
CC-070092	ECCTA	Replace One, 2006 DR Cutaway/Van	66,932			
CC-030037	ECCTA	Preventive Maintenance	266,647			
SOL010006	Fairfield	Fairfield Operating Assistance	2,378,311			
MRN110045	GGBHTD	Replace 7 - 40' Diesel Buses	3,008,005			
ALA030030	LAVTA	Preventative Maintenance	1,399,366			
MRN110043	Marin Transit	Replace 7 Local Buses	4,057,707			
NAP970010	Napa Vine	Napa Vine: Operating Assistance	1,776,524			
NAP090008	Napa Vine	Equipment Replacement & Upgrades	46,814			170,991
SON110051	Petaluma	Replace 2 Paratransit Cutaways FY13	9,360			124,504

FY 2012-13 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5309 FG	FTA Section 5337	FTA Section 5339
Capital Projects, continued						
SM-110062	Samtrans	Replacement of 1998 Gillig Buses	17,397,271			
SM-110070	Samtrans	Replacement of 14 2009 Minivans	619,597			
SM-030023	Samtrans	Preventive Maintenance	6,896,630			
SON090023	Santa Rosa	Santa Rosa CityBus: Operating Assistance	1,678,872			
SON090024	Santa Rosa	Santa Rosa CityBus: Preventative Maintenance	1,281,664			
SON030012	Santa Rosa	Santa Rosa CityBus: Transit Enhancements	31,093			
SON070020	Santa Rosa	Diesel-Electric Hybrid Fixed-Route Replacement Bus				231,591
SF-090043	SFMTA	45 40' NABI Replacement	7,419,719			6,690,972
SF-090035	SFMTA	35 22' Paratransit vans	4,163,725			
SF-110050	SFMTA	58 40' Neoplan Bus Replacement	15,815,991			
SF-110051	SFMTA	26 60' Neoplan Bus Replacement	16,742,037			
SF-070045	SFMTA	60 60' New Flyer Trolley Bus Replacement	0			
SF-990003	SFMTA	ITS Radio System Replacement	5,000,000			
SF-95037B	SFMTA	Muni Rail Replacement			26,992,086	
SF-970073	SFMTA	Cable Car Renovation Program			960,000	
SF-990003	SFMTA	Radio Replacement			2,600,000	
SOL110040	Soltrans	Operating Assistance	1,100,000			
SOL090033	Soltrans	Maintenance Facility	1,750,000			
SOL090034	Soltrans	Bus Purchase	416,835			
SOL110038	Soltrans	Technology Enhancements				
SON030005	Sonoma County	SCT Preventive Maintenance Program	986,845			
SON050021	Sonoma County	SCT Bus Stop Enhancements	10,364			
SON110049	Sonoma County	Replacement of One CNG 40-Foot Orion Bus				
SOL110042	Vacaville	Additional FR Buses	1,205,486			0
SOL010007	Vacaville	Operating Assistance	985,000			
SCL990046	VTA	VTA: Preventive Maintenance	32,541,169		2,601,175	
SCL050045	VTA	VTA: ADA Bus Stop Improvements	350,749			
SCL050002	VTA	VTA: Rail Replacement Program		957,204	705,379	
SCL050001	VTA	VTA: Standard and Small Bus Replacement				2,743,276
CC-110092	WestCat	Replacement of 8 (1988) 40' transit buses.	3,502,672			
SF-110053	WETA	Replacement Vessel	14,800,000			
REG090057	WETA	Ferry Major Component Rehabilitation - Solano	1,600,000			
REG090057	WETA	Ferry Major Component Rehabilitation - Vallejo	960,000			
REG090055	WETA	Ferry Propulsion System Replacement - Peralta	4,208,000			
REG090067	WETA	Ferry Fixed Guideway Connectors - Main Street Terminal	224,000			
		Total Capital Projects	**189,989,246**	**1,683,596**	**149,846,971**	**10,801,772**
		Total Programmed	**214,050,799**	**1,683,596**	**149,846,971**	**10,801,772**
		Fund Balance	**29,090,376**	**0**	**17,694,767**	**1,856,907**

FY 2013-14 Transit Capital Priorities / Transit Capital Rehabilitation Program					
TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5337	FTA Section 5339
		Actual Apportionments	208,984,999	170,320,038	13,072,341
		Previous Year Carryover	29,090,376	17,694,767	1,856,907
		Funds Available for Programming	238,075,375	188,014,805	14,929,248
Lifeline Set-Aside (JARC Projects)					
To be programmed	To be programmed	Reserved for projects included in the Lifeline Transportation Program Cycle 3 (MTC Resolution No. 4053, Revised) and Cycle 4.	2,889,856		
ADA Operating Set-Aside					
ALA990076	AC Transit	ADA Set-aside	3,987,520		
ALA050042	ACE	Preventive Maintenance	510,043		
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improve	3,003,174		
SM-050040	Caltrain	ADA Set-aside	960,667		
CC-99T001	CCCTA	ADA Set-aside	676,696		
CC-030035	ECCTA	ADA Set-aside	530,109		
MRN090033	GGBHTD	ADA Set-aside	451,907		
ALA990077	LAVTA	ADA Set-aside	306,948		
MRN110047	Marin Transit	ADA Set-aside	677,860		
NAP030004	Napa VINE	ADA Set-aside	29,966		
SM-990026	SamTrans	ADA Set-aside	1,005,996		
SF-990022	SFMTA	ADA Set-aside	3,783,639		
SOL110025	SolTrans	ADA Set-aside	674,610		
SCL050046	VTA	ADA Set-aside	3,166,259		
CC-990045	WestCat	ADA Set-aside	109,379		
Vehicle Procurement Reserve					
New	Caltrain	Railcar Replacement - RESERVED		24,323,719	
		Total Program Set-asides and Commitments	22,764,629	24,323,719	0
		Funds Available for Capital Programming	215,310,746	163,691,086	14,929,248
Capital Projects					
ALA990052	AC Transit	Paratransit Van Leasing	1,433,386		
ALA110117	AC Transit	Replace (28) 2000 40' Urban buses	11,456,348		
ALA110118	AC Transit	Replace (40) 2002 40' Urban buses	16,367,354		
New	AC Transit	Replace (27) 2003 60' articulated buses	20,000,000		
ALA110106	AC Transit	Farebox Replacement	2,000,000		
REG110044	ACE	Positive Train Control (PTC)	1,664,400		
BRT030004	BART	Train Control		13,000,000	
BRT030005	BART	Traction Power		13,000,000	
BRT97100B	BART	Rail, Way, and Structures Program		13,000,000	
ALA090065	BART	Fare Collection Equipment		6,067,914	
REG050020	BART	BART Car Exchange Preventive Maintenance	7,267,896	66,900,255	
REG090037	BART	Railcar Replacement		500,000	
SM-03006B	Caltrain	Caltrain: Systemwide Track Rehab & Related Struct.		7,058,982	
REG110030	Caltrain	Positive Train Control/Electrification - RESERVED - see Notes		7,254,018	
CC-110100	CCCTA	Replace 18 40' Heavy Duty Diesel Over the Road Buses	8,334,023		863,182
CC-110099	CCCTA	CCCTA: Replace 15 40' Heavy Duty Diesel Transit Buses	6,578,760		
CC-070092	ECCTA	Replace Ten, 2001 40' Gilligs	4,960,818		893,992
CC-070092	ECCTA	Replace Four, 2010 Dodge Minivans	183,572		
CC-030037	ECCTA	Preventive Maintenance	64,251		
CC-070092	ECCTA	Replace Two, 2007 Chevrolet Minivans	90,118		
SOL010006	Fairfield	Fairfield Operating Assistance	2,022,394		0
SOL110044	Fairfield	Intercity Bus Engine Replacements	400,000		
SOL110041	Fairfield	Bus Replacement			564,485
MRN110046	GGBHTD	Replace 14 - 45' OTR Coaches	7,709,590		
ALA030030	LAVTA	Preventative Maintenance	196,984		
MRN110044	Marin Transit	13 Paratransit Vehicles	891,338		
MRN110042	Marin Transit	4 Local Buses	2,235,772		
NAP970010	Napa Vine	Napa Vine: Operating Assistance	1,432,231		
NAP090008	Napa Vine	Equipment Replacement & Upgrades	48,035		174,228
SON110052	Petaluma	Replace 2 Paratransit Cutaways FY14	10,657		126,859

FY 2013-14 Transit Capital Priorities / Transit Capital Rehabilitation Program					
TIP ID	Operator	Project Description	FTA Section 5307	FTA Section 5337	FTA Section 5339
Capital Projects, continued					
SM-110053	SamTrans	Advanced Communication System Upgrades	2,653,250		
SM-110069	SamTrans	Replacement of 19 2007 Cutaway Buses	1,837,710		
SON090023	Santa Rosa	Santa Rosa CityBus: Operating Assistance	1,701,083		
SON090024	Santa Rosa	Santa Rosa CityBus: Preventative Maintenance	672,263		
SON030012	Santa Rosa	Santa Rosa CityBus: Transit Enhancements	24,768		
SON070020	Santa Rosa	Diesel-Electric Hybrid Fixed-Route Replacement Bus			277,289
New	SFMTA	30 60' Motor Coaches	30,500,000		
New	SFMTA	Farebox Replacement	1,120,000		
SF-110050	SFMTA	50 40' Neoplan Bus Replacement	5,855,020		6,908,739
SF-110051	SFMTA	26 60' Neoplan Bus Replacement	4,116,619		
SF-110050	SFMTA	8 40' Neoplan Bus Replacement	4,643,523		
SF-070045	SFMTA	60 60' New Flyer Trolley Bus Replacement		12,877,488	
New	SFMTA	42 40' Neoplan Bus Replacement	5,000,000		
New	SFMTA	49 60' Neoplan Bus Replacement	8,365,234		
SF-95037B	SFMTA	Muni Rail Replacement		4,092,086	
SF-970073	SFMTA	Cable Car Renovation Program		960,000	
SOL110040	SolTrans	Operating Assistance	5,706,408		
SOL090034	SolTrans	Bus Purchase	1,275,000		787,581
SOL070032	SolTrans	Preventive Maintenance	299,674		
New	Sonoma County	CNG Bus Replacement	410,123		
SON030005	Sonoma County	SCT Preventive Maintenance Program	1,308,507		
SON050021	Sonoma County	SCT Bus Stop Enhancements	17,935		
SON110049	Sonoma County	Replacement of One CNG 40-Foot Orion Bus			432,386
ALA110114	Union City	Replacement of Two (2) Transit Buses	953,135		
SOL010007	Vacaville	Operating Assistance	985,000		
New	Vacaville	Paratransit Bus Purchase 3 40' ARBOC Low-Floor Gasoline			394,072
SCL990046	VTA	VTA: Preventive Maintenance	32,874,210	2,072,309	
SCL050045	VTA	VTA: ADA Bus Stop Improvements	361,097		
SCL050049	VTA	VTA: Rail Substation Rehab/ Replacement		4,560,000	
SCL090044	VTA	VTA: TP OCS Rehab and Replacement			
SCL050002	VTA	VTA: Rail Replacement Program		5,556,034	
SCL050001	VTA	VTA: Standard and Small Bus Replacement			3,185,141
CC-110093	WestCat	Replacement of 2 35' suburban diesel transit bus	735,324		
CC-110094	WestCat	Replacement of 2 35' suburban diesel transit bus	223,954		
New	WETA	Ferry Vessel Replacement	749,345	-	
REG090054	WETA	Ferry Channel Dredging		1,600,000	
REG090057	WETA	Ferry Major Component Replacement			
REG090067	WETA	Ferry Fixed Guideway Connectors			
SF-110053	WETA	Replacement Vessel		5,392,000	
		Total Capital Projects	**207,736,909**	**163,691,086**	**14,587,934**
		Total Programmed	**230,501,538**	**188,014,805**	**14,587,934**
		Fund Balance	**7,573,837**	**0**	**341,314**

FY2012-13 - FY2013-14 Transit Capital Priorities / Transit Capital Rehabilitation Program Notes

1. Apportionment projections are based on MAP-21 authorizations and FY13 partial-year apportionments released by FTA. The program will be reconciled to the final apportionments for each year after they are released by FTA.
2. Operators in the Fairfield, Napa, Petaluma, Santa Rosa and Vacaville Urbanized Areas did not wish to participate in the ADA operating set-aside programming element at the time the current ADA set-aside formula was developed. Future revisions to the ADA set-aside formula may include operators in these urbanized areas.
3. $400,000 of FY2013-14 Section 5307 programmed to Fairfield & Suisun Transit for intercity bus engine replacements based on the intercity bus replacement strategy agreed to by the operators may be reprogrammed to another FAST project if review of the draft Solano County Short Range Transit Plan demonstrates that the engine replacements can be funded with other sources while providing sufficient funding for other capital and operating needs.
4. Caltrain deferred $1,706,500 of its FY13 fixed guideway cap to FY14. $11,513,000 of Caltrain's FY13 and FY14 fixed guideway cap funds for Positive Train Control/Electrification project are reserved for Electrification pending discussions with HSR Early Investment Strategy MOU partner agencies and a final request that aligns with the MOU.
5. $24,323,719 for Caltrain's Railcar Replacement project will be held in a Vehicle Procurement Reserve pendin development of the project schedule, and will be programmed in a future amendment.
6. ECCTA excercised the Capital Exchange element of the TCP policy by deferring replacement of two 1998 40' diesel buses to FY22 in exchange for $266,647 for Preventive Maintenance in FY13, and by deferring replacement of two 2001 Trolley Replicas to FY25 in exchange for $55,042 in Preventive Maintenance in FY14.
7. GGBHTD deferred $22,074,000 of fixed guideway cap funds from FY11, FY12, FY13 and FY14 to FY15. These funds will have priority for programming in FY15 as a prior-year commitment.
8. LAVTA excercised the Capital Exchange element of the TCP policy by deferring replacement of nine 2006 22' cutaways to FY20 in exchange for $1,157,841 for Preventive Maintenance in FY13. LAVTA also deferred replacement of five 2000 40' hybrid buses to FY15 in exchange for $241,525 in Preventive Maintenance in FY13, and deferred replacement of eight 2002 40' hybrid buses to FY15 in exchange for $196,984 in Preventive Maintenance in FY14.
9. Programming for Santa Rosa CityBus and Sonoma County Transit in FY14 is based on a renegotiated agreement to share apportionments in the Santa Rosa urbanized area between the two agencies.
10. SFMTA deferred $5,000,000 of its FY13 fixed guideway cap to FY15 in exchange for advancing funding for two bus replacement projects from FY14 to FY13.
11. VTA deferred $1,138,534 of its fixed guideway cap from FY13 to FY14.
12. WestCAT deferred $849,920 for replacement of two buses from FY13 to FY15 in exchange for advancing funding for two different bus replacements from FY15 to FY14.
13. WETA deferred $5,392,000 of its FY14 fixed guideway cap funds to FY15 in exchange for advancing funding for a ferry vessel replacement from FY16 to FY14.
14. SamTrans deferred $20,000,000 of FY14 5307 for articulated bus replacement to FY15 in exchange for$2,653,250 for Advanced Communication System Upgrades in FY14
15. The balance of the regional share of AC Transit's Replace (27) 2003 60' articulated buses project ($3,567,594), SFMTA's 42 40' Neoplan Bus Replacement project ($19,378,498) and SFMTA's 49 60' Neoplar Bus Replacement project ($20,000,000 annual cap) will have priority for funding in FY2014-15 as prior-year commitments.

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APPENDIX A – 38

Specific Funding Programs

Regional Measure 2 (RM2) Safe Routes to Transit Grant Program

MTC Resolution No. 3735

Date: December 21, 2005
W.I.: 1255
Referred by: PAC
Revised: 07/25/07-C
07/28/10-C
12/21/11-C
02/26/14-C

ABSTRACT

MTC Resolution No. 3735, Revised

This resolution adopts the Regional Measure 2 (RM2) Safe Routes to Transit Grant Program.

The following attachment is provided with this resolution:

Attachment A — RM2 Safe Routes to Transit Grant Program Fund Recipients

This resolution was revised by Commission Action on July 25, 2007, to include the second cycle projects for the RM2 Safe Routes to Transit Grant Program.

This resolution was revised by Commission Action on July 28, 2010, to include the third cycle projects for the RM2 Safe Routes to Transit Grant Program.

This resolution was revised by Commission Action on December 21, 2011, to include the fourth cycle projects for the RM2 Safe Routes to Transit Grant Program. This resolution supersedes MTC Resolution No. 3932.

This resolution was revised by Commission Action on February 26, 2014, to include the fifth cycle projects for the RM2 Safe Routes to Transit Grant Program.

Further discussion of this action is contained in the Programming and Allocations Committee Summary Sheet dated December 14, 2005, July 11, 2007, July 28, 2010, December 14, 2011, and February 12, 2014.

Date: July 27, 2005
W.I.: 1255
Referred by: PAC

RE: Regional Measure 2 (RM2) Safe Routes to Transit Grant Program

METROPOLITAN TRANSPORTATION COMMISSION
RESOLUTION NO. 3735

WHEREAS, pursuant to Government Code Section 66500 et seq., the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, Streets and Highways Code Sections 30950 *et seq.* created the Bay Area Toll Authority ("BATA") which is a public instrumentality governed by the same board as that governing MTC; and

WHEREAS, on March 2, 2004, voters approved Regional Measure 2, increasing the toll for all vehicles on the seven state-owned toll bridges in the San Francisco Bay Area by $1.00, with this extra dollar funding various transportation projects within the region that have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors, as identified in SB 916 (Chapter 715, Statutes of 2004), commonly referred as Regional Measure 2 ("RM2"); and

WHEREAS, RM2 establishes the Regional Traffic Relief Plan and lists specific capital projects and programs and transit operating assistance eligible to receive RM2 funding as identified in Streets and Highways Code Sections 30914(c) & (d); and

WHEREAS, RM2 assigns administrative duties and responsibilities for the implementation of the Regional Traffic Relief Plan to MTC; and

WHEREAS, BATA shall fund the projects of the Regional Traffic Relief Plan by transferring RM2 authorized funds to MTC; and

WHEREAS, MTC adopted policies and procedures for the implementation of the Regional Measure 2 Regional Traffic Relief Plan, which specifies the allocation criteria and project compliance requirements for RM 2 funding (MTC Resolution No. 3636); and

WHEREAS, the RM2 Safe Routes to Transit Grant Program is identified as capital project number 20 under RM 2 and is a competitive grant program available to public agencies including transit operators, cities, and counties; and

WHEREAS, the Transportation and Land Use Coalition and the East Bay Bicycle Coalition and MTC developed a process and criteria to be used in the selection of the RM2 Safe Routes to Transit grant recipients to be funded with Regional Measure 2 funds; and

WHEREAS, Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length, lists the recommended grant recipients and the correlated funding amounts; and

RESOLVED, that MTC approves MTC staff's review of the RM2 Safe Routes to Transit Grant applications; and be it further

RESOLVED, that MTC approves the list of grant recipients and their associated funding amounts as set forth in Attachment A; and, be it further

RESOLVED, that encumbrance of the Safe Routes to Transit grants require a subsequent action, whereby MTC allocates the RM2 funds specific to each grant recipient consistent with the provisions of the Regional Measure 2 Regional Traffic Relief Plan Policy and Procedures as set forth in length in MTC Resolution No. 3636.

METROPOLITAN TRANSPORTATION COMMISSION

Jon Rubin, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on December 21, 2005.

Date: December 21, 2005
W.I.: 1255
Referred by: PAC
Revised: 07/25/07-C
07/28/10-C
12/21/11-C
02/26/14-C

Attachment A
MTC Resolution No. 3735

Cycle 1 Safe Routes to Transit Grant Program Projects

Primary Project Sponsor	Project Title	Capital or Planning Project	Award
AC Transit	AC Transit TransBay Expanded Bike Access*	Capital	~~$180,000~~ $0
AC Transit	AC Transit Bicycle Parking Plan	Planning	$100,000
BART	BART C2 Rail Car Reconfiguration Project	Capital	$581,000
City of Albany Community Development Department	El Cerrito/Albany Ohlone Greenway Safety Project	Capital	$807,000
City of Berkeley	Downtown Berkeley BART Bikestation	Capital	$496,784
City of Fairfield	Union Avenue/Suisun Train Station Enhancement Program	Capital	$300,000
City of Oakland CEDA Redevelopment	MacArthur Transit Hub Streetscape Improvement Project Phase II	Capital	$398,800
City of Oakland Public Works Department	MacArthur BART Station Bicycle Access Project Phase I	Planning	$30,000
San Francisco Department of Parking & Traffic	Improved Bicycle Access to 16th Street BART Station	Capital	$195,000
San Francisco Municipal Railway	Balboa Park Station Intermodal Connections	Planning	$200,000
San Francisco Municipal Railway	Market Street Safety Zone Calming	Capital	$600,000
Valley Transportation Authority	Santa Clara Transit Center–Pedestrian/Bike Crossing	Planning	$50,000
TOTAL			~~$3,938,584~~ $3,758,584

* Project was deleted from the program subsequent to adoption.

Cycle 2 Safe Routes to Transit Grant Program Projects

Primary Project Sponsor	Project Title	Capital or Planning Project	Award
City of Pittsburg; Contra Costa County	Bailey Road Transit Access Improvement Project	Capital	$650,000
San Francisco MTA; BART	Balboa Park Ocean Avenue Pedestrian/Bicycle Connections	Planning	$181,280
BART	BART Electronic Bicycle Locker Gap Closure Project	Capital	$200,000
BART; City of San Leandro	Bay Fair BART Station Area Improvement Plan	Planning	$100,000
Contra Costa County; BART	Contra Costa Centre/Pleasant Hill BART Shortcut Path and Wayfinding Project*	Capital	~~$300,000~~ $0
San Francisco MTA; SF Department of Public Works	Mission & Geneva Pedestrian Improvements	Capital	$940,500
City of San Rafael	Puerto Suello Hill Path to San Rafael Transit Center Connector Project	Capital	$600,000
City of Richmond; City of El Cerrito	Richmond/Ohlone Greenway Gap Closure—Class I Access to Transit	Planning	$200,000
City of Berkeley, BART	Safe Routes to Ed Roberts Campus/Ashby BART	Capital	$325,000
San Francisco MTA	24th St. & Mission BART Station Area Access Improvements	Capital	$450,000
TOTAL			~~$3,946,780~~ $3,646,780

* Project was deleted from the program subsequent to adoption.

Cycle 3 Safe Routes to Transit Grant Program Projects

Primary Project Sponsor	Project Title	Capital or Planning Project	Award
San Francisco MTA	Balboa Park Station Connections Project Phase II	Capital	$722,000
BART	Bay Fair BART Safety and Security Improvement Project	Planning	$196,077
City of Berkeley	Berkeley/AC Transit Ped and Bike Access Improvements*	Capital	~~$498,820~~ $371,187
City of San Leandro	Downtown San Leandro BART Pedestrian and Bicycle Access Project*	Capital	~~$750,000~~ $400,000
San Francisco MTA	Glen Park Area Bicycle Project	Capital	$168,000
City of Santa Rosa	Highway 101 Bicycle/Pedestrian Overcrossing	Planning	$100,000
City of Oakland	MacArthur Station Bicycle Access Project Phase II	Capital	$242,500
San Francisco MTA	Market Street Multi-Modal Transportation Improvements Study	Planning	$200,000
Richmond Community Redevelopment Agency	Nevin Avenue Bicycle/Pedestrian Improvements: BART to Civic Center	Capital	$750,000
VTA	VTA Pilot Bike Sharing Implementation	Capital	500,000
West Contra Costa Transportation Advisory Committee	West Contra Costa/Albany Transit Wayfinding Plan	Planning	$69,000
TOTAL			~~$1,196,397~~ $3,718,763

* Projects realized savings due to lower costs or revised scope.

Cycle 4 RM2 Safe Routes to Transit Grant Program Projects

Primary Project Sponsor	Project Title	Capital or Planning Project	Award
City of Oakland	19th Street/Uptown Bikestation	Capital	$531,000
San Francisco MTA	Bicycle-Transit System Integration	Planning	$180,000
City of Richmond	Overcoming Physical Barriers to Safe Routes to Transit	Capital	$501,829
San Francisco MTA	Polk Street Bicycle Gap Closure	Capital	$584,000
City of San Jose	Safe Pathways to Diridon Station	Capital	$675,000
Santa Clara Valley TA	Santa Clara Caltrain Station Pedestrian and Bicycle Access Tunnel	Capital	$675,000
City of Emeryville	Star Intersection and San Pablo Avenue at 40th Street Transit Hub Bicycle/Pedestrian Improvements	Capital	$450,000
City of San Bruno	Transit Corridor Pedestrian and Bike Connection Project	Capital	$500,000
TOTAL			**$4,096,829**

Cycle 5 RM2 Safe Routes to Transit Grant Program Projects

Primary Project Sponsor	Project Title	Capital or Planning	Award
City of Oakland	Rockridge BART Access Improvements	Capital	$472,000
AC Transit	Design Standards and Guidelines Manual for Safe and Efficient Multi-modal Transit Stops and Corridors	Plan	$100,000
City of Richmond	Carlson Boulevard Crosstown Connection Project	Capital	$500,000
Sonoma Marin Area Rail Transit District	Regional SMART Pathway College Ave to Guerneville Rd	Capital	$750,000
City of El Cerrito	San Pablo Avenue Specific Plan and Complete Streets Plan	Plan	$100,000
San Francisco MTA	Long Term Bicycle Parking	Plan	$200,000
Santa Clara Valley TA	Countywide Pedestrian Access to Transit Plan	Plan	$100,000
City of South San Francisco	South San Francisco Caltrain Station Ped and Bike Underpass Plan	Capital	$200,000
City of Concord	Concord Bike and Pedestrian Access to Transit	Plan	$200,000
City of Vallejo	Curtola Parkway Class I Bike Path	Capital	$750,000
AC Transit	Bus Bulb Parklet Design Standards and Guidelines Manual	Plan	$100,000
Marin Department of Public Works	San Quentin Village Safe Access Gap Closure and Transit Stop Improvement Project	Capital	$750,000
City of Oakland	Access Improvements to Lake Merritt BART Station	Capital	$278,521
San Francisco MTA	Balboa Park Station Access and Safety	Capital	$278,521
TOTAL			$4,779,042

Additional Cycle 5 RM2 Safe Routes to Transit
Grant Program Fund Recipients Should Savings Accrue to the Program (in priority order)

Primary Project Sponsor	Project Title	Capital or Planning	Additional Funding Amount
City of Oakland	Access Improvements to Lake Merritt BART Station	Capital	$63,589
San Francisco MTA	Balboa Park Station Access and Safety	Capital	$36,479
BART	West Oakland BART Bike Station	Capital	$415,000
TOTAL			**$515,068**

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